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# **HUMAN RESOURCE DEVELOPMENT: AN ASSESSMENT OF CAPACITY DEVELOPMENT INITIATIVES OF WORLD BANK PROJECTS IN GHANA**

**Joseph Kwadwo DANQUAH**

**BSc., MSc.**

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## **Abstract**

The significance of capacity development programmes, as key driver for sustaining development goals, is anchored in all international fora. This research complements and extends our present understanding of the contribution of capacity development approaches to development and achievement of the SDGs. This is achieved by critically assessing the impact of capacity development initiatives sponsored by the World Bank. This thesis has focused on analysis of implementation strategies and critical assessment of the impact of the projects using multidisciplinary approach, utilising a range of quantitative and qualitative methods. It provides a sound empirical basis for assessing the complexities of these projects.

This empirical investigation has identified a wide range of disparities of implementation strategies utilised for capacity development initiatives among the major international players (World Bank and UNDP). These findings clearly indicate that there is no single strategy for the implementation of capacity development initiatives. Thus, based on empirical evidence, as well as a critical review of the literature, the study proposes a model for achieving critical sustainable capacity development based on broad and long-term strategies; input, process, output, and outcome which defines the appropriateness of policies and practices that support sustainable development.

It is concluded that capacity development initiatives are relevant and essential ensuring national development and sustainable results. The recommendations include the focus on individual, organisational, and societal factors when planning, developing and adopting strategies for implementing all government/national programmes.

**KEYWORDS:** Capacity development, capabilities, sustainability, development projects, Metropolitan and Municipal Assemblies, World Bank, impact, skills, knowledge, efficiency.

## Researcher's Publications

### Book:

- 1 Analoui, F. and **Danquah, J. K.** (2017) *Critical capacity development*. Palgrave – Macmillan: New York City

### Selected Recent Articles:

1. **Danquah, J. K.**, Analoui, F., and Koomson, Y. E. D. (2017) an evaluation of donor agencies policies on participatory development: the case of Ghana. *Development Policy Review*. (Accepted on 12<sup>th</sup> January 2016)
- 2 Adomako, S. Narteh, B., **Danquah, J. K.**, and Analoui, F. (2016) Entrepreneurial orientation in dynamic environment: the moderating role of extra-organisational advice. *International Journal of Entrepreneurial Behaviour and Research*, 22(5), pp. 616 – 642.
- 3 Ansah, T., Dzoagbe, G. S., Teye, G. A., Adday, S. and **Danquah, J. K.** (2009) Microbial qualities of table eggs sold on selected markets in the Tamale Municipality in the Northern Region. *Livestock Research for Rural Development*, 21(8). Available at: <http://www.lrrd.cipav.org.co/lrrd21/8/ansa21128.htm>

### Research Award:

1. **Winner** of **SUNKWA MILLS** Best Animal Science Thesis Award (2009) by **Ghana Association of Animal Science**.

## **DEDICATION**

**I THANK GOD, WHOM I SERVE WITH A CLEAR CONSCIENCE THE WAY MY  
FOREFATHERS DID, AS I CONSTANTLY REMEMBER YOU IN MY PRAYERS  
NIGHT AND DAY (2 TIMOTHY 1:3)**

This whole research is dedicated to the **GREAT ARCHITECT OF THE UNIVERSE**, from whom all good things originate and who made it possible for the use of all acknowledged persons as viable instrument for successful realization of this academic trajectory.

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## **Glossary and List of Abbreviation**

ACBF	African Capacity Building Foundation
ADA	Austenian Development Agency
AD	Anno Domino
ADB	African Development Bank
AG	Attorney General
CAS	Country Assistance Strategy
CB	Capacity Building
CD	Capacity Development
CDRC	Capacity Development Resource Centre
CEOs	Chief Executive Officers
CIDA	Canadian International Development Agency
CPS	Country Partnership Strategy
CRRP	Colorado Rural Revitalization Project
CSF	Capacity Support Fund
DAC	Development Assistance Committee
DACF	District Assembly Common Fund
DDF	District Development Fund
DfID	Development for International Development
DPs	Development Partners
EC	European Commission
ECDPM	European Centre for Development Policy Management
EITI	Extractive Industries Transparency Initiative
EOCO	Economic and Organised Crime Office
EPA	Environmental Protection Agency
ESW	Economic Sector Work

FOAT	Functional Organisational Assessment Tools
GAS	Ghana Audit Service
GDP	Gross Domestic Product
G-JAS	Ghana Joint Assistance Strategy
GNPC	Ghana National Petroleum Corporation
GoG	Government of Ghana
GPF	Governance Partnership Facility
GRA	Ghana Revenue Authority
GSEIP	Ghana Secondary Education Improvement Project
GSGDA	Ghana Shared Growth Development Agenda
GSS	Ghana Statistical Services
GSWP	Ghana Sanitation and Water Project
GTZ	German Technical Cooperation
HLF	High Level Fora
HLP	High Level Panel
HND	Higher National Diploma
HR	Human Resource
HRD	Human Resource Development
HRM	Human Resource Management
ICOs	Intermediate Capacity Outcomes
ICT	Information Communication Technology
ICPD	International Conference on Population and Development
ID	International Development
IDA	International Development Association
IDRC	International Development Research Centre
ILGS	Institute of Local Government Services
IMF	International Monetary Fund

KNUST	Kwame Nkrumah University of Science and Technology
LF	Logical Framework
LGCSP	Local Government Capacity Support Project
LGSS	Local Government Secretariat Service
LI	Legislative Instrument
MDBS	Multi-Donor Budget Support
M&E	Monitoring and Evaluation
MLGRD	Ministry of Local Government and Rural Development
MoEP	Ministry of Energy and Petroleum
MIGA	Multi-lateral Investment Guarantee Agency
MMDAs	Metropolitan, Municipal and District Assemblies
MoE	Ministry of Energy
MoFEP	Ministry of Finance and Economic Planning
M/SDGs	Millennium/Sustainable Development Goals
OECD	Organisation for Economic Cooperation and Development
NDAP	National Decentralization and Action Plan
NDP	National Development Plan
NGO	Non-Governmental Organisation
NIRP	National Institutional Reform Programme
OGCBP	Oil and Gas Capacity Building Project
PBME	Planning, Budget, Monitoring and Evaluation
PCM	Project Cycle Management
PCU	Project Coordination Unit
PDO	Project Development Objectives
PFM	Public Financial Management
PhD	Doctor of Philosophy
PMBok	Project Management Book of Knowledge

PSMRP	Public Sector Management Reform Programme
SDGs	Sustainable Development Goals
SIL	Specific Investment Loan
SIP	Sector Investment Programme
SLWM	Sustainable Land and Water Management
SMEs	Small and Medium Enterprises
SPSS	Statistical Package for the Social Science
TA	Technical Assistance
TC	Technical Co-operation
TCPR	Triennial Comprehensive Policy Review
UDG	Urban Development Grant
UK	United Kingdom
UN	United Nations
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programmes
USA	United States of America
USAID	United States Agency for International Development
WB	World Bank
WBI	World Bank Institute
WCED	World Commission on Environment and Development

# **Chapter One**

## **1.1 Introduction and overview of the research**

The study is principally concerned with assessing the impact of capacity development (CD) initiatives sponsored by the World Bank (WB) in Ghana. Many practitioners, writers and development researchers like Analoui and Danquah (2017); Vallejo and Wehn (2016); World Bank (2012); Kenny and Clarke (2010); Hope (2009); Kuhl (2009); Templeton (2009); Baser and Morgan (2008); Mulugetta (2008); Saasa (2008); UNDP (2008); Blagescu and Young (2006); Wubneb (2003); Lavergne and Saxby (2001); Bolger (2000); Franks (1999); Lusthaus, et al. (1999); Morgan (1998); Grindle and Hilderband (1995) acknowledged that capacity development has dominated the international development debate because of the shortcomings in development assistance over the past decades, the dominate role of donor-led projects, and inadequate attention to long-term capacity issues. These shortcomings have limited the developing countries impact on achieving sustainable development.

Capacity development draws on the lessons of past experiences and also links previously isolated approaches to a coherent strategy with a long-term perspective and vision of sustainable development (Bolger, 2000; Luthaus, et al. 1999). Capacity development is an important component of international development, according to Gordon and Chadwick (2007) it seeks to build the understanding, skills and knowledge base of individuals, organisations and societies. The international community provides assistance in the form of loans, grants, trainings, scholarships and technical assistance. In 2007, the international community including the WB formulated a Ghana – Joint Assistance Strategy (G-JAS) to support government's development agenda. The WB's specific programme of support under the G-JAS provides an explicit commitment to make available analytical and financial resources to strengthen government through activities in decentralization including urban

policy, public sector reform, economic governance and promoting evidence – and result – based public policy choice (World Bank, 2011). These commitments are made because of the conviction that developing the capacity of individuals of a country consequently can add to the stock of knowledge and is essential element in improving the capacity of the country and also achieving sustainable development. Capacity development is now an explicit and integral part of the new paradigm hence Sustainable Development Goals (SDGs), and also considered as a vehicle for meeting the SDGs and for sustaining development goals in the long term (Vallejo and Wehn, 2016).

SDGs have generated much more global interest and public engagement than anticipated. The finale document drafted by UN General Assembly titled; *Transforming our World: the 2030 Agenda for Sustainable Development* was officially adopted on 25<sup>th</sup> September 2015 and every country by then understood the critical importance of the new global framework for sustainable development. Sustainable development is a triple-bottom-line concept thus integrating economic, social and environmental objectives. In a simple terms sustainable development means economic development should continue, combined with social inclusion and environmental sustainability. The SDGs concept emphasizes holism across economic, social and environmental objectives (Sachs, 2015).

However, capacity development investment are judged as essential not only for the recipient countries but also for donors and implementing agencies, as it is a core function of international organisations (Vallejo and Wehn, 2016), and there is little hard evidence to demonstrate how important these investment are and to justify their importance. It is therefore critical to assess how much to invest in human capital and its activities relative to other investment in development assistance (Gordon and Chadwick, 2007). Moreover, due to over-stretched budget of these organisations, there is a growing concern in the dynamics and



efficacy of different capacity development interventions as well as an appreciation of the need to assess their long-term impact (Hailey and James, 2003).

Impact assessment is the most common way to examine capacity development investment and generate feedback to project funders and the efforts of relevant stakeholders (Carman and Frederick, 2010). As capacity development relevance has increased, the impact assessment of capacity development investment has taken on increasing relevance. The increasing pressure to deliver measurable capacity development results, or the so-called “results agenda,” is pushing donor community to increasingly focus on projects with tangible (mostly pre-defined) results (Vallejo and Wehn, 2016, p. 6).

Reviewing the current literature reveals that there are a number of factors promoting impact assessment in capacity development. Funding constraints, media exposure and the development of contract culture have created demands for increased accountability as the way development assistance funds have been spent and their long-term impact (Hailey and James, 2003). They further argue that the past decade has witnessed increasing pressure on donor’s budget, currently being exacerbated by the global financial crisis. The donor budget goes through a rigorous process before they are approved. Decision-makers seek comparative information on their investment and also prefer objectives that are linked to the achievement of sustainable development targets. Accordingly, capacity development investment often recognised as indirect and long-term, but still not exempt from such demands (Hailey and James, 2003).

Assessing the impact of capacity development ensures a degree of accountability and facilitates cross-organisational learning, therefore there is the need to measure and document capacity development interventions. The above factors have been promoting impact assessment of capacity development in the international community.

## **1.2 Background Information about the Projects**

Ghana is constantly ranking among the top three in Africa for freedom of the press and freedom of speech, with other institutions like parliament and the judiciary have proved to be independent and vibrant. The real Gross Domestic Product (GDP) growth is projected to rebound to 5.2% in 2016 from 3.4 in 2015 reflecting the positive impact of more a stable energy supply and increased from oil and gas, and agriculture industries. The country's medium-term growth prospect is strong with 8.2% in 2017 and moderating to 7.5% under the assumption that fiscal adjustment remains on track with the support of the International Monetary Fund (IMF) and other development partners (World Bank, 2016c).

According to the World Bank (2016c) Ghana has been able to cut its fiscal deficit by more than 3% points to 7.1% of GDP in 2015 with the 2016 budget aiming at further reduction to 5.3% of GDP. The country's external balance improved in 2015, despite unfavourable global economic conditions. Notwithstanding these achievements, Ghana still faces persistent high inflation, even with efforts to tighten monetary policy and the economy has slowed for the fourth consecutive years to an estimated 3.4% in 2015 from 4% in 2014 as energy rationing, high inflation, and ongoing fiscal consolidation weighed on economic activity.

The World Bank continues assistance to African countries is rooted in the observation of the Bank's High Level Panel (HLP) Report – Investing in Africa's Future – 2007. The report acknowledged that although African countries have remarkably achieved higher levels of human and technical capacities in the last five decades, but these capacities are inadequate in addressing the social, economic and political challenges. Therefore, the need to pay close attention to capacity results from the realization that enhancing capacity is a difficult and complex task, which requires an intimate knowledge of the capacity needs, and a balanced

support among human, institutional, and infrastructure dimensions of capacity (African Development Bank Group, 2010).

The World Bank endorsed a new Country Partnership Strategy FY2013 – 2016 (CPS) in 2013. The objective of the CPS is to assist government to sustain economic growth, accelerated poverty reduction and enhance shared prosperity in a sustainable manner. The programme is based on three pillars; improving economic institutions, improving competitiveness and job creation, and protecting the poor and vulnerable in the society. These commitments are enshrined in the Ghana Shared Growth Development Agenda (GSGDA) pillars of competitiveness and employment, vulnerability and resilience, and governance and public sector capacity. The World Bank and the International Development Association (IDA) are committing about \$2.140 billion of credits and grants. The current strategy incorporates a substantial IDA portfolio consisting of 24 operations during the CPS period and additional commitment of \$382 million to four regional operations in West Africa, the project includes, transport, energy, higher education and trade (World Bank, 2016b).

The World Bank country programme in Ghana is coordinated with other development partners. This is coordinated structure for budget support through the Multi-Donor Budget Support (MDBS) process, by which the government and Development Partners (DPs) agree to a set of objectives, reform measure, and indicators. The World Bank delivered projects/programmes to address Ghana's macroeconomic competitiveness challenges, a financial sector reform programme, and modernization of government systems under the Information and Communication Technology (ICT) for transformation (World Bank, 2016d).

The Multilateral Investment Guarantee Agency (MIGA) operations currently insures four active projects; supporting power, telecoms, clean water, and oil and gas supply, with total gross exposure of \$319 million. These projects are aligned with the first of the CPS, which

call for raising private sector competitiveness through engagements in private and financial sector development, modernization of agriculture, sustainable natural resource management, and investment in infrastructure. The investments and advisory services in the country focuses on physical and social infrastructure, such as power, water and sanitation, the financial sector, Small and Medium Enterprises (SMEs) and access to finance (World Bank, 2016d).

### **1.2.1 Oil and Gas Capacity Building Project (OGCBP)**

The country's discovery since 2007 of major oil and gas deposit in waters off the coast at the western extremity of Ghana's maritime limits, and the rapid development of those deposits, has the potential to bring significant economic development opportunities to the country (World Bank, 2010). The oil and gas resources have multiple benefits beyond the short-term improvement in fiscal balances. This opportunity brings challenges; the country faces numerous potential pitfalls of poor governance and the risks of social discontent or environmental degradation resulting from poor sector oversight, unrealistic expectations and poor communication within and among stakeholders. The Ministry of Energy (2010) acknowledges that the country is constrained by limitation in the following areas:

- a. Finance;
- b. Human resource capacity; and
- c. Technology.

To overcome these challenges, the government needs to rapidly increase the capacity of institutions managing the oil and gas sector and also empower institutions who will train Ghanaian workforce to operate the sector. The Oil and Gas Capacity Building Project (OGCBP) has been prepared in response to these risks and the design reflects stakeholder

input in determining ways that risks can be mitigated through project interventions (World Bank, 2010).

The Ghana Government objective is to grow the economy to rapidly achieve sustainable and accelerated development and industrialisation. The oil and gas industry if developed is a source of accelerated growth, poverty reduction and general prosperity to the people of Ghana and the active involvement of Ghanaians in the industry through local content and participation is a major policy issue (Ministry of Energy, 2010). The main goal of local content and participation policy is to define actions that will ensure that the constraints/challenges are resolved to enable Ghanaians take control and thus maximise the benefits to them and by the Ghanaian state.

The government is determined to ensure competitiveness of Ghanaians in the provision of the full range of services required in the industry, the local training and technical institutions will be supported and the petroleum operators to develop the requisite capacity to international standard to be able to train Ghanaians to comparable high levels as required by the industry in drilling and support services, marine, catering and housekeeping, supplies and other support services. The capacity building will focus on all aspects of training, including the following:

- Artisanal training such as welding, catering services;
- Training of middle-level of technicians to provide maintenance services, offshore and on shore drilling; and
- High level skill training including management, engineering design, procurement and business strategy development (Ministry of Energy, 2010, p. 10).

The government will focus on high level seminars and workshops to create the necessary awareness and interest of local business in the development of the requisite technologies and provision of technical support for the oil and gas industry. In addition, academic and technical institutions will be supported to build the requisite human and material resources to provide effective training for Ghanaians (Ministry of Energy, 2010). Ghana has had no need to develop any local capability in oil and gas production until now. Consequently, there is an acute shortage of technical skills at all levels to build and run this ‘nascent’ industry. The capability to set policy and oversee this industry is being built up from scratch. The relevant agencies involved are the Ministry of Energy (MoE), the yet to be established upstream petroleum regulatory body, the Ghana National Petroleum Corporation (GNPC), and the Environment Protection Agency (EPA). The MoE has few staff with a petroleum background and EPA none at all (World Bank, 2010)

### **1.2.2 Local Government Capacity Support Project (LGCSP)**

Developing countries have accepted decentralisation as an important component of democratic reforms and this is being promoted by many donor agencies. Decentralization process involves devolution of power, authority and financial resources to local units of government to overcome the inefficiencies associated with the centralized system of government (Akudugu, 2013; Olowu, 2003). Moreover, decentralization enhances effectiveness of local administration in public service by bringing decision-making process and responsibilities as close to the local people as possible (Akudugu, 2013).

In 1993 the GoG passed the Local Government Law (Act 462), sought to implement comprehensive local government and decentralization reforms and under the Act, local authorities (Metropolitan, Municipal and District Assemblies - MMDAs) were created. As more powers and resources are being decentralized, ensuring that local governments are

being held accountable to central government as well as to their citizens becomes increasingly important (World Bank, 2011).

According to the World Bank (2011, p. 2) current accountability systems, both upward and downward, are weak. The unpredictability of resources makes it difficult for local governments to respond to the needs of citizens and undermines citizen participation opportunities that exist in the planning and budgeting process. Financial accounting and reporting systems need to be strengthened. While the Ghana Audit Service (GAS) carries out external audits of local governments, the quality and timelines of such audit and the extent of follow-up of audit recommendations need to be improved. Linkages between citizens and their assemblies similarly are very weak.

Ghana's development strategy GSGD, presents its strategies according to seven thematic pillars of which two are particularly relevant, including: infrastructure and human settlements development, and transparent and accountable governance. The last pillar notes the importance of upgrading public expenditure and financial systems, strengthening social accountability mechanism and implementing effective decentralization to local governments (World Bank, 2011, p. 3).

The GoG has demonstrated a strong commitment to the implementation of the decentralization programme. The National Decentralization and Action Plan (NDAP) have been approved and published, and legal reforms have been introduced to devolve personnel to MMDAs (Legislative Instrument 1961). The 2011 budget policy statement clearly recognises the importance of addressing issues in fiscal decentralization, notably through the establishment of capacity in the Ministry of Finance and Economic Planning (MoFEP).

Enhancing decentralized urban service delivery cost US\$156.2 million has two sub-components. The targeted capacity support to urban assemblies will support programmes at

MMAAs to assist them to enhance their performance in relation to the five key Public Financial Management (PFM) reform areas. This programme addresses specific and unique needs related to the introduction of the five key PFM reforms. This sub-component cost US\$40,000 per year per participating MMAAs and aim at incentivize the achievement of specific outcomes in the key reform areas through the use of strategic consulting services and advisory support for transaction. The centrally managed capacity support will finance:

- a. Workshops and peer learning events,
- b. Development and/or revision of national training modules in five key reform areas,
- c. Training of core MMAAs staff and selected assembly committee members in the key PFM reform areas, and
- d. Regional teams of technical advisors who will provide hands-on support to staff of MMAAs on a rotating basis (World Bank, 2011).

### **1.3 Research Problem**

Capacity development is an integral part of development and increasingly attracting huge investment because it is believe that developing the capacity of individuals, organisations and societies will help countries to achieve their development objectives in a sustainable manner. The need for capacity development is accepted by all development partners, it is understood that developing the capacity of these players (individuals, organisations and societies) are at the forefront of efforts to tackle poverty, ill-health, environmental issues and social injustice as well as mitigate the effects of conflict and humanitarian disasters (Hailey and James, 2003).

Due to development issues, governments and donors alike have recognised that the need to invest in developing the capacity of all players in development and according to Hailey and



James (2003) this places huge burden on over-stretched and under-resourced donor agencies, which threatens their operational effectiveness and organisational viability. Governments and donor agencies have prioritised capacity development initiatives at the core of many development strategies and there is growing concern in the dynamic and efficacy of capacity development projects, as well as an appreciation of the need to ascertain their long-term impact.

Researchers like Hailey and James (2003) argue that in recent years, the global financial crisis, funding constraints, media exposure and the creation of contract culture have contributed for the increased accountability as to the way governments and donor agencies funds have been spent and their long-term impact. The last few years have witnessed increasing pressure on donor budgets, currently being further exacerbated by the global financial crisis. This situation has led most major donors to go through a rigorous process of prioritising programmes and projects. Decision-makers require comparative information in order to choose between different options, it is therefore important to assess measure and document capacity development initiatives to ensure a degree of accountability and facilitate cross-organisational learning.

Capacity development is considered as a holy grail, as greater pressure has been placed on donor funding and governments it holds out the possibility of sustainable long-term improvements in project outcomes. Crisp et al. (2000) postulate that if capacity development is successful it produces fundamental and lasting changes in how individuals, organisations and societies address development issues without the need for ongoing funding. But this has been often proved elusive in practice. This is evident because there are no records on capacity development impact analysis and when it is done many organisations armour the results.

The World Bank has contributed in many ways to Ghana's developmental agenda through grants, loans and project financing. The lending instrument chosen for bank support is a Specific Investment Loan (SIL). The SIL is seen the most appropriate instrument to support the implementation of LGCSP decentralization reforms, including the introduction of a differentiated urban grant system, and funds provision of MMA capacity support programmes in key PFM reforms areas while OGBCP is a sector-specific technical assistance credit implemented primarily by the Ministry of Energy (World Bank, 2011).

However, these projects are not implemented as a stand-alone but are part of mainstreamed in a cross section of projects. Most of the institutions benefiting from these projects lack financial resources and limited management experience. The researcher's own experience in capacity development issues in developing countries revealed that there is the need to assess the impact of these projects to ascertain whether capacity development initiatives impact positively on beneficiaries.

#### **1.4 Research Aims, Questions and Objectives**

This research seeks to explore the impact of capacity building programmes, how capacity development programmes have been strategically implemented in Ghana, and what are the strategies, approaches, methods, tools and techniques have been utilised in the process, as Lusthaus et al. (1999) argues that as the world struggle with both theory and practice of development, ideas and approaches emerge and are tested. This research focuses on the assessment of the impact of capacity development programmes sponsored by the World Bank in Ghana.

The research main objectives are to:

1. Critically review the literature related to capacity development in context of donor's aid in assisting developing countries to achieve their development objectives.
2. Explore whether the World Bank think that capacity development will complement aid effectiveness and do they use it?
3. Assess the impact of application of capacity development, if any, on the achievement of Sustainable Development Goals (SDGs) and other development goals.
4. Examine capacity development strategies, approaches, methods and techniques. Does it work in Ghana or not?
5. Identify ways to improve aid effectiveness by using CD
6. Examine the application and strategy of capacity development in the area of development

In order to achieve the above aims and objectives the research will attempt to answer the following questions, however, the main research question is: How do the World Bank capacity development programmes impact the process of development.

1. To what extend does WB adopt capacity development strategy for implementation of development programmes?
2. How capacity development programmes has been implemented in the past?
3. How capacity development programmes has been implemented in Ghana?
4. How does World Bank in developing countries perceive capacity building process including policy goals, strategy formulation, implementation and impact assessment strategy?

5. What is the impact of capacity development programmes in achieving SDGs and other development goals?
6. What are the main characteristics of an effective capacity building model in Ghana?
7. To what extent will capacity development programmes help Ghana achieve its development goals?

### **1.5 Research Importance**

Considering the literature (Gordon and Chadwick 2007; Blagescu and Young 2006; Koning et al. 2006; Lusthaus et al. 1999) capacity development concept was introduced after the World War II aimed at improving the living conditions of people across the global but Lusthaus et al. (1999) suggest that in this 21st century improving the quality of life of the world remains an elusive dream, delivering of international development assistance are being called into question for poor achievements in sustainable development, national ownership and appropriate technology. The term capacity development is relatively new, has become central in all development assistance programmes and its meaning is dispersed in the development discourse.

In spite of the importance of the concept, there are limitations in this field; this has been demonstrated by several researchers, writers, organisations and practitioners including Analoui and Danqua (2017); Vallejo and Wehn (2016); Baser and Morgan (2008); Mulugetta (2008); UNDP (2008); Koning et al. (2006); Lusthaus et al. (1999) and Morgan (1999) who believe that a common consensus on the definition of the concept among development practitioners would help to understand ‘the real’ meaning and what it takes to development capacity. Assessing the impact of capacity development projects is important for the formulation of coherent strategies for sustainable development and also to determine in

relative terms the benefit/s of the investment. This study aims to learn from existing experiences how capacity development projects have been implemented, and whether this can help Ghana achieve its development objectives.

Moreover, development projects have been criticised for lacking accountability to both clients and beneficiaries. And these projects normally controlled by external sources with beneficiaries having little input in how they are designed. They are sometimes vulnerable and susceptible to failure, suspicion and hostility from the host communities and misunderstanding of the actual motives of the project. Strengthening capabilities in regulation is often a high priority. Traditional models for building capacity are complemented by approaches that facilitate peer-to-peer learn (World Bank, 2005a). This study will identify the implementation strategy of these projects and whether or not local capacity is being augmented by contracting out some specialist functions.

Reviewing the literature to date shows that there has been no study conducted at the PhD level to assess the impact of capacity development projects, this is the first of its kind in the field of international development. The study will attempt to clarify the concept's multiple meanings so that the chances of useful impact assessment of capacity development projects may be enhanced. Moreover, the study will contribute to the development of international development assistance in delivering capacity development programmes. Based on the results of this study the researcher will provide a framework of capacity development, which will improve the quality of capacity development.

## **1.6 Research Methodology**

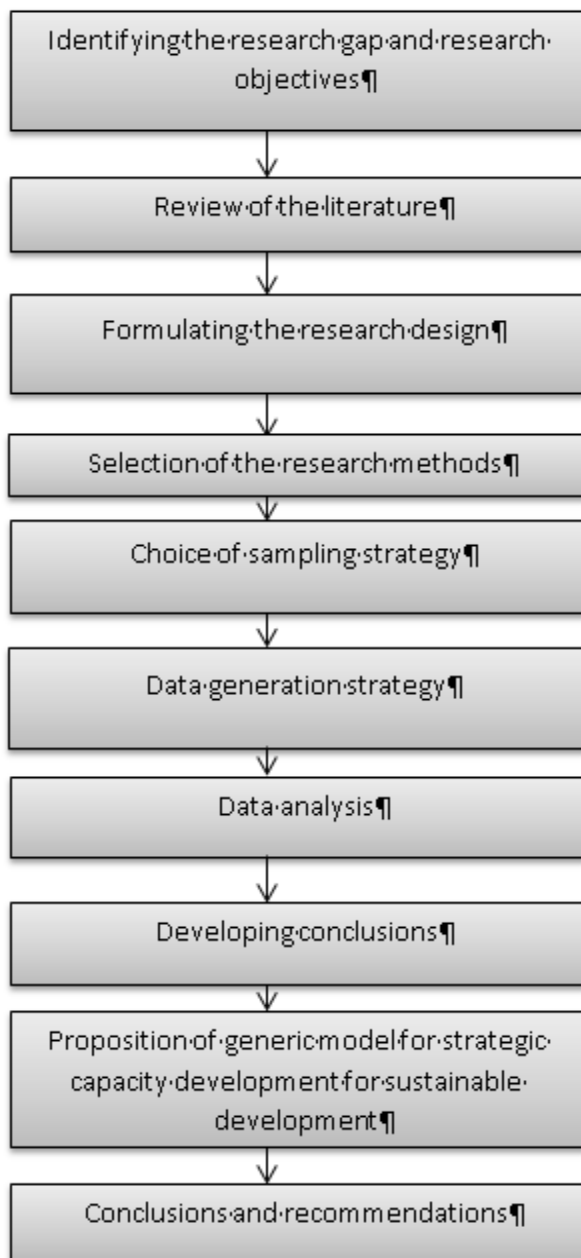
This study employed descriptive, analytical, comparative and statistical methods involving both quantitative and qualitative methods. It uses a case study approach (Yin, 2014) because of its potential to deal with complex situation. Case study research allowed in-depth analysis

of specific capacity development initiatives, from which new concept was generated. The study was conducted in Ghana, a developing country in Sub-Saharan Africa. The case study involves two capacity building/development projects sponsored by the World Bank; these projects are unique in nature because recognizing the need to accelerate the decentralization process by directly addressing bottlenecks and gaps, and to do so in a coordinated and holistic manner. Secondly, Ghana has had no need to develop any local capability in oil and gas production until the discovery of oil and gas. Consequently, there is an acute shortage of technical skills at all levels to enable the building and running of this ‘nascent’ industry (World Bank, 2010).

This study uses mixed methodology by analysing both quantitative and qualitative data, and the fieldwork is based on survey questionnaire. In this way the potential of the quantitative research using SPSS analysis method is enhanced. This is the basis of the choice of a mixed methodology approach, using both quantitative research using SPSS model and qualitative research in the form of semi-structured interviews by using content analysis.

The quantitative method was employed to have a deeper understanding of capacity development. The researcher used quantitative data to build the model and hypothesis of this study; this is to help the researcher have further understanding of capacity development initiatives. The qualitative method was also employed by the researcher to confirm, support or rejects the quantitative data of the research. Quantitative data was collected followed by qualitative. Both methods were conducted separately but were designed to explore similar areas to increase the understanding of capacity development initiatives. Both primary and secondary data sources have been used and data generation was carried out in 2014/2015. The following are the steps taken, as shown in figure 1.1.

**Figure 1-1 the main research process**



Source: Author's Compilation

Questionnaires were specifically designed for this research and were distributed to participants and after the questionnaires were collected, interviews appointments were made with those who agreed to be interviewed as were indicated in their questionnaires. The researcher used stratified random sampling where the MMAs have been divided into four geographic zones.

The literature review is based on published and unpublished materials such as journal papers, books, theses, special studies, development agencies documents, and other library-housed materials were used.

## **1.7 Literature Review**

The review of the literature was carried out in order to extend the researcher's knowledge into the important concepts and materials related to the field of capacity development; specifically the researcher had the opportunity to read published and unpublished materials provided by the development agencies or assistants particularly World Bank, UNDP, CIDA, OECD, ADA, and the Ghana Government.

The literature review takes place in chapter two and chapter three. The literature review is primarily concerned with development of Human Resource Management (HRM), development management, capacity development/building, development projects, World Bank and UNDP capacity development process and evaluation methods. Ghana's development agenda and the World Bank development assistance has been reviewed in chapter three.

## **1.8 Thesis outline**

This thesis consists of eight chapters and each chapter will be explained briefly below:

**Chapter one:** the introductory chapter explains the background of the study; research problem, questions, aims and objectives, and research methodology are explained.

**Chapter two:** provides the in depth review of the literature related to development of HRM, capacity development and development projects.



**Chapter three:** reviews the current situation in Ghana and the World Bank's development strategy for developing countries.

**Chapter four:** provide an extensive account of the research methodology including data generation methods and data analysis strategy.

**Chapter five:** provides the descriptive data analysis and the results for both qualitative and quantitative.

**Chapter six:** introduces and discusses the major findings of the thesis in connection with the research question and the new model for strategic capacity development.

**Chapter seven:** this chapter highlights the new model for strategic capacity development proposed by the researcher and also explain the various components of the model.

**Chapter eight:** summarizes the main findings and conclusions of the study. It also provides recommendations for the main beneficiaries from the study, proposing ways to improve the performance by adopting/adapting strategic capacity development. This chapter proposes further research and explain limitations of the research.

## **Chapter Two**

### **2.1 Capacity Development (CD) and Development of Human Resource Management (HRM)**

### **2.2 Introduction**

The purpose of this chapter is to present academics and development practitioners with a vivid account of research literature relevant to the concept of development of human resource management (HRM), capacity development (CD), capacity building (CB) and development. This is to provide readers with the general groundwork research to date into the concept of HRM and its linkage with CD/CB, and then focuses on factors related to the understanding of CD in developing countries towards the achievement of sustainable development. The discussion will focus on the critical evaluation of HRM and CD, impact of capacity development initiatives, sustainability of development, factors promoting and challenging impact assessment in CD and World Bank/UNDP's strategy in the implementation of capacity development. Lastly, the causal chain from a capacity development project to outcomes in society and ultimate impact in society will be presented.

### **2.3 Capacity Development Debate**

The development community has been field for buzzwords, jargon and acronyms. The development dictionary is saturated with commonly used terms that haven assigned specific meaning within the development context. Common terms have been assumed greater importance, which in turn can limit meanings, debate and discussion. Capacity development is one such term (Kenny and Clarke, 2010). Because of its "assumed significance" in recent years CD has dominated development thinking, according to Kenny and Clarke (2010, p. 3) "it has the power to foreground certain approaches to development, such as those based

around human resource and organisational enhancement” and these words have been relevant in the development community because according to Debrah and Ofori (2005) globalization and the accompanying intensification of competitive pressures have brought to the fore the managerial capabilities in achieving and maintaining development goals in a sustainable manner. This situation has galvanized the development agencies investigating into the different ways countries make the best use of the whole range of abilities and competencies that individuals, organisations and society bring to bear.

It is argued that capacity development is one of the most important issues that developing countries are lacking in order to achieve their developmental goals and meeting Millennium/Sustainable Development Goals (M/SDGs). Even with substantial increase in funding, many developing countries will not be able to achieve such goals and to be able to achieve these; the development of sustainable capacity should be given greater and more careful attention. This is now widely recognised by donor organisations and partner countries alike, as epitomised in the 2005 “Paris Declaration on Aid Effectiveness” (OECD, 2006) and it is recognised by both the international community and developing countries that capacity development should be incorporated into the overall scope of development assistance (Franks, 1999). Reflecting on the capacity development discourse offers wealth of practical guidance, lessons learned, and best practices for the assessment, design, and implementation of multi-sectorial capacity-enhancement initiatives (Schwartz, 2012, p. 2).

Capacity development initiatives are typically viewed in terms of training and technical assistance activities, involving the simple transfer of knowledge or organisational models from North to South, and are mostly criticized for lacking focus and effective approaches for addressing institutional constraints that country face in achieving their development goals (World Bank, 2010; OECD 2006).

The challenge of effective capacity development for developing countries is to achieve their developmental goals and sustain them, this has been and still an issue. Institutional and resource constraints are some of the factors that have continued militating against developing countries', foreign direct investment to developing countries has increased in the past decade, however, Africa's share of foreign direct investment to developing countries decreased from 8.5% in 2012 to 7.6% (Cleeve, et al. 2015). To overcome these constraints, it is recognised that capacity development must be part and parcel of their developmental strategy. Both donors and developing countries recognised, and that without capacity development past achievement could be eroded and development assistance must help in strengthening the capacity of developing countries (Analoui and Danquah, 2017; Saasa, 2008; Franks, 1999).

To be able to deeply and properly analyse capacity development issues, this research draws on a large volume of documented experience provided by multilateral and bilateral donors and academic specialist; it is mainly concerned with public and private sector experience. Enabling readers, students, managers and academics alike to gain basic and broader understanding of capacity development, inspiration will be drawn from the dominant views and concepts in management perspectives.

Analoui (1998, p. 1 - 2) opines that it will be "unnecessary to follow the trajectory of how management as it is today was created and established, it is essential to be familiar with the milestones in the process: each of which reveals the philosophy, value structure, beliefs and most importantly the dominant assumptions which were held by scholars, theorist, developers, trainers and practitioners at different point in time." The 'hard' and 'soft' approaches have been developed in management but such are underused and, perhaps, undervalued by the development community (Analoui, 2007; Engel et al. 2007).

## **2.4 Development of Human Resource Management (HRM)**

Contemporary Human Resource Management (HRM) practice is pervasive in all aspects of human life within all organisations (Berman, 2015; Ivo, 2006; Pindur, et al. 1995). HRM is critical to strengthening state institutions and performance by attracting and retaining well-qualified and talented people to work on key issues and ensuring that leaders' efforts contribute to organisational and worker performance (UN, 2005 and Rauch and Evans, 2000); its development has attracted lots of attention from practitioners, policy makers, researchers and scholars. In order to understand these perspectives, Analoui (1998) argues that one must understand the concept from which management has been viewed, created and even promoted.

According to Berman (2015) depending on the context HRM can be further defined into three broad categories: (i) a strategic perspective and focus on meeting/shaping future organisational needs; (ii) policies and strategies that further the development, performance, and well-being of employees; and (iii) technical functions for the day-to-day operations of managing people in organisations. HRM function is often not well established in developmental contexts.

In a sense the study of management and organisations are inseparable, he further argues that from the traditional perspectives, organisations were viewed as hard, mechanistic and operate based on scientific laws. Following Analoui (1998, 2007) and Ivo (2006) categorised the perspectives in management or system as: Scientific or Closed Management system, Human Relation or Semi Open System and the Open or Contingency system. These different perspectives in management will give a better or holistic understanding of human resource management.

### **2.4.1 Scientific or Closed Management System**

The scientific or closed system, Analoui (1998); Ivo (2006) describe as the “traditional” management, where organisations place much emphasis on “order”, “predictability” and rationality. Employees were treated as component of a mechanical structure and much focus were on task, Ivo (2006) this system was hierarchical where owners were at the top of everything whilst managers ensured employees comply for the profit maximisation of the owner. Managers were needed to maximise the utilisation of resources for organisational profit and work was designed as task. The system was founded on rigid rules and regulations, and placed little or no emphasis on employee’s welfare and development (Analoui, 1998: Ivo, 2006).

### **2.4.2 Human Relations or Semi-Open System**

The “human relation theorists refer to organisation as the social system of the organisation, the community of people and their development of norms of behaviour and the presence of informal codes of conduct” (Analoui 1998, p. 3 cites McGregor, 1987). In a sense, employees were considered as part of organisation, as a group of people with interests and dynamics. It was semi-mechanistic and it has maintained the hierarchical structure and bureaucracy. It ensures loyalty and compliance of work through negotiation, this was the practice at the end of colonisation in the 1960s (Ivo, 2006).

In this period, management was seen as the art of managing people to achieve organisational goals; therefore, Analoui (1998) and Ivo (2006) pose that managers require special skills like task, people related training, collective bargaining and trade unionism. There was an effort to integrate people issue into organisational management process. However, managers and employees were considered as special people with peculiar interest and dynamics. It operated the hierarchical structure and bureaucracy of the closed system, and sought organisational performance through tasks and control (Ivo, 2006).

According to Pindur et al. (1995) Mary Park Follett was one of the earliest writers who viewed organisation from an individual and group perspectives. She concentrated on administrative conflict, motivation, co-operation and authority, and these are viewed as the building-block for organisational development. This type of management system was in practice after the collapse of colonisation in the 1960s (Ivo, 2006). The human relation school of thought on management placed emphasis on employee's ability to contribute and survive. The criticisms of this system paved way for the next perspectives. The third management perspective is the open or contingency system.

### **2.4.3 Open or Contingency System**

The contingency theory is a problem-solving approach which recognises all elements in decision making process (Pindur et al. 1995). This theory advocates a more radical move from the perspective that the bigger the organisation the better and to considering organisations as smaller entities interacting with the environment (Ivo, 2006). Emphasises the need for flexibility, dynamism and proactive.

Organisations consider people as an important asset, therefore, the need for change and development. Task, employee teams and employee's development are integrated into organisational strategy, therefore, ignoring the stringent rule of classical approach for self-regulation, business orientation and proactive measures (Ivo, 2006). This system has opened the frontiers of managing people in organisation.

In recent years, bilateral, multilateral and developing countries alike are advocating for capacity development, this is direct response to widely acknowledged shortcomings in development assistance over the past five decades. HRM is a strategic approach adopted in managing people and organisation which emphasizes that leveraging people's capabilities are critically in achieving competitive advantage (Bratton and Gold, 2003).

The challenge in this new millennium continues unabated and these are characterized by globalization of economic activities, the fragmentation of market, paradigm shift in production and massive leaps in technological infrastructure. In order to deal with these, many advocate that organisations must appreciate the important role which learning and development will play in ensuring their survival, and there is the need to invest in Human Resource Development (HRD) (McCracken and Wallace, 2000). According to Budhwar et al. (2002) HRD is the most effective and efficient way to develop Human Resource (HR) of state-led countries, and country like Singapore has successfully implemented various HR strategies.

Fundamentally, organisation investment in HRD strategy must clearly be linked the wider corporate strategy (McCracken and Wallace, 2000). In achieving HRD objectives, countries need to adopt a particular HRD approach. The government must consider the type of skills the country requires either vocational or general education (Debrah, et al. 2000). To better understand how capacity development has been developed and promoted, development management is discussed below. Table 2.1 shows the development of organisational theories, the managers and perspectives in management and the underlying assumptions, and its implications.



**Table 2-1 Developments of Management Perspectives within System Context and Implications**

Assumptions	Perspectives	Implications
Organisation	Closed system	<p>Improve productivity</p> <p>Focuses on effectiveness/efficiency</p> <p>Organisations were mechanistic, technical and very bureaucratic</p>
	Semi-Open	<p>Increased efficiency through scientific work analyses</p> <p>Organisational performance through tasks and control</p> <p>Internal dynamics of informal group in organisations</p>
	Open System	<p>Task, employee teams and individual development were part of organisational strategy</p> <p>Self-regulation and business orientation</p> <p>Proactive measures</p>
People	Cogs of a mechanical	<p>Pay is based on work</p> <p>Welfare programmes (sickness) are executed by elected employees</p> <p>Employees compliance to work for profit maximisation</p>

	Social agents of work community	<p>Job satisfaction</p> <p>Improving employee positions to increase motivation and involvement</p> <p>Conflict, motivation, co-operation and authority are building block of organisation</p>
		<p>Things are done through and with individuals who are operating in organised groups</p> <p>Managers plan, organise, lead and control</p> <p>Quality underlying employment relations</p>
Approach to Management	Classical management	<p>Founded on rigid rules and regulation</p> <p>Sought the control of employees</p> <p>Work designed as task and output was organisational goal</p>
	Human relation	<p>Managers were specialists in employees welfare</p> <p>Collective bargaining</p> <p>Trade unionism</p>

	Contingence system	<p>Efficiency and justice, and emphasised on organisational development</p> <p>Enhancing their individual and collective contribution to organisational development</p> <p>Appraisal and analysis of the entire managerial environment within the organisation</p>
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Source: Adapted from: Ivo, (2006); Analoui (1998); Pindur, et al. (1995)

## **2.5 Development Management**

The terms management, development and development management are used in the development community for various reasons, development is not restricted to developing countries, management is not narrowed to operational matters and management of development means the management of intervention aimed at external social goals in a context of valued-based conflict (Mowles, 2010; Brinkerhoff, 2008; Thomas, 1999;). As argued above, the international development community is no different being awash with tools, grids, and framework, generalised recipes for how to undertake the work. For example, project-cycle management, logical framework (LF) and performance management, these descriptions are borrowed which in turn affects what it is possible to achieve (Mowles, 2010).

According to Brinkerhoff (2008) with the emergence of state-as-solution and state-as-problem perspective, assessment of tasks and what states and citizens can do and should do has changed. During 1945 – 1979, that is the period where state-as-primary-development-actor. In this era, development administration was concern with structure and leading public sector bureaucracies to undertake the tasks of central planning, infrastructure construction and maintain, direct service provision, and economic management. Development assistance focused on technology transfer.

The state-led development and state-as-problem phase did not produce the needed results; therefore, the international development community questioned why millions of dollars did not produce sustained improvement in beneficiary's life. In search for answers, development administration specialists proposed the influence of contextual factors external to projects, and imported tools and systems that affected their ability to change administration practices and generate long-term and sustainable benefit (Brinkerhoff, 2008; Hirschmann, 1999).

In the late 1980s and early 1990s, development administration shifted focus from isolated projects to programme management that adapted project and programme design and implemented them in a way that explicitly recognised country constraints and opportunities (Brinkerhoff, 2008). This broader view of development, emphasis was policy reform and implementation as tackling the state-as-problem (Brinkerhoff and Crosby, 2002). Researchers and policy makers were zealous mapping and understanding of the political landscape for international development investment, as well as spawning several generations of policy-based lending and grants (Brinkerhoff and Goldsmith, 1992). Globalization and competitiveness have brought intense greater awareness the role of managerial competencies in improving productivity and resource management. This situation has galvanized research into the different ways that state can maximise or make efficient use of resources, abilities and competencies for sustainable development (Debrah and Ofori, 2005).

According to Brinkerhoff (2008) development management emerged after the collapsed of the Soviet Union and the recognition of consecutive wave of democratization. The frontiers of development management were expanded to include conducting free and fair elections, fostering systems of checks and balances, ensuring accountability and responsiveness to citizens, and building legitimacy. Development agencies invested in elections and strengthening society to demand good leadership and productive services, while little attention to whether states had the capability and capacity to respond (Coston, 1998).

Development management is management process with development orientation, rather than management in the context of the development process or the management of development initiatives or tasks (Brinkerhoff, 2008; Thomas, 1999). They describes development management as same as; management for development, management in development and management of development. Development management has many functions, and according

to Brinkerhoff (2008) they are a set of means to achieve institutional agenda, development tools, as a complex process of interventions and as a carrier of particular set of values.

The distinctive aspect of managing development is that it involves more than simply achieving tasks to meet immediate goals efficiently, it concerns the processes of task accomplishment can contribute to social dynamics and outcomes, which includes empowerment and building capacity (Thomas, 1999). The development management encompasses building the capacity of state and citizens to engage cohesive and effective development (Brinkerhoff, 2008). It can be argued that development management can be viewed as a process of not only managing inputs and outputs dynamics but the coordination between multifaceted players of interest such as states, non-state organisations or associations.

Some values of development management are sometimes overlooked, creating a scenario of winners and losers. The process is highly fused with politics and cannot be adequately understood as a value-free exercise of technical expertise or technical transfer. Therefore, donors do not allow local vision to prevail but supply them with their own advanced or suffocated policies and programmes (Brinkerhoff, 2008). This argument, the self-avowedly neutral managerialism of donor-funded programmes has disguised the unequal power relation between donors and beneficiary countries that enable the West to impose a unilaterally determined vision of modernity and progress (Dar and Cooke, 2008), hence undermining country's ownership.

## **2.6 Capacity Development and Building: Review**

The results produced by donor funded projects and the role of development cooperation were concerns to the international community and highlighted at various High Level Fora (HLF), for example, on Aid Effectiveness in Rome (2003), Paris (2005), Accra (2008), and Busan

(2011) that resulted in global commitments and development principles. The High Level Forum in Busan in 2011 led The Global Partnership for Effective Development Co-operation (OECD, 2011). Throughout the negotiations CD has been the key priority of development cooperation (Analoui and Danquah, 2017; Pearson, 2011).

One of the main outcomes from the United Nations (UN) conference on sustainable development (Rio+20) in 2012 was international agreement to negotiate a new set of global Sustainable Development Goals (SDGs) to guide the path of sustainable development in the world after 2015. Moreover, capacity development is now an explicit and integral part of the SDGs, with their attention on implementation as compared to Millennium Development Goals (MDGs) (Vallejo and Wehn, 2016). They pose that a shift in focus represents paradigmatic for capacity development and also now considered as a vehicle for meeting SDGs and sustaining development goals in the long term.

Sustainable development is the priority of all developing countries to provide all citizens with the capacity to manage, plan and implement their own development agenda. This has two important features.

- The provision of capacity must go beyond the attainment of economic growth and incorporate the satisfaction of all human, organisational and institutional needs and improve social well-being.
- The process of CD should not use all resources to jeopardise the quality of life of current and future generations (Mulugetta, 2008).

The international development community over the years has a common goal of poverty alleviation and livelihood empowerment for developing countries. The paradigms followed by these agencies in achieving these objectives have evolved over time, shifting from supply-

driven technical assistance based on inputs toward demand-driven capacity development based on outcome, and they have been strongly influenced by either M/SDGs (Vallejo and Wehn, 2016). To be able to achieve sustainable development, it requires policies and programmes with the deliberate mission of accelerating technological innovation at every stage of the CD process, mobilising additional investment in technology that exploit local resources and initiate an intervention that gives attention to the development of human, organisational and institutional capacity (Mulugetta, 2008).

Development has been at the centre of developing countries agenda and Lusthaus, et al. (1999) describes development as;

- A puzzling and ambiguous process involving persons, communities and nation
- A means constantly changing to the complexity of nature and also such processes are also evolving
- A perspective is considered as a human life of its own, a life that is far larger than the sum of its elements and actors
- “It is often described as unpredictable, uncontrollable, long-term nature of development has become more acknowledged and it is not coincident that capacity development – is regarded as an overtly process-driven concept that aggregates and adds to other development approaches – has become an underlying objective of international agencies” (Lusthaus, et al. 1999, p. 19).

The international community has been grappling with ideas about the advancement of human life; different ideas has been tried and tested but capacity development emerged in reaction to lack of results produced by initiatives based on technical cooperation and many other initiatives (Lusthaus et al. 1999). CD trajectory is a follows;



In the 1950s and 1960s, the international community targeted institutional capacity building through technical assistance providing local public institutions with finances and physical infrastructure required to manage programmes of public investment (Lustthaus, et al. 1999). According to Franks (1999) in 1960s and 1970s, the international community were concerned with the provision of physical asset and the focus was to increase productive capacity through industrialization therefore the provision for basic infrastructure thus institutional development and strengthening. In the 1970s and 1980s technical cooperation was the common approach to development cooperation; priority was primarily technical training and the introduction of models and systems from the North. For example, a technical expert will come into a country for a short period to provide expertise and technology, and this will be followed by financial resources. During this period attention was neither given to transfer of skills nor the sustainability of the concepts (UNDP, 2008).

Due to lack of result produced by technical cooperation and structural adjustment in the 1980s, in the early 1990s the thinking began to shift and the idea of capacity development began to evolve, the emphasis is now on increasing the knowledge, skill and ability of people to contribute to their country's development (Frank, 1999). The use of short-term technical experts was questioned and the issue of development sustainability became important. However, the shift in thinking, according to Wubneb (2003) is based on three basic factors;

- Millions of dollars were spent to build the human and institutional capacity of developing countries through technical assistance has come under criticism in the development literature.
- Developing countries have adopted wide range of reforms programmes, often on the advice of WB and IMF but such has failed to achieve the needed objectives.

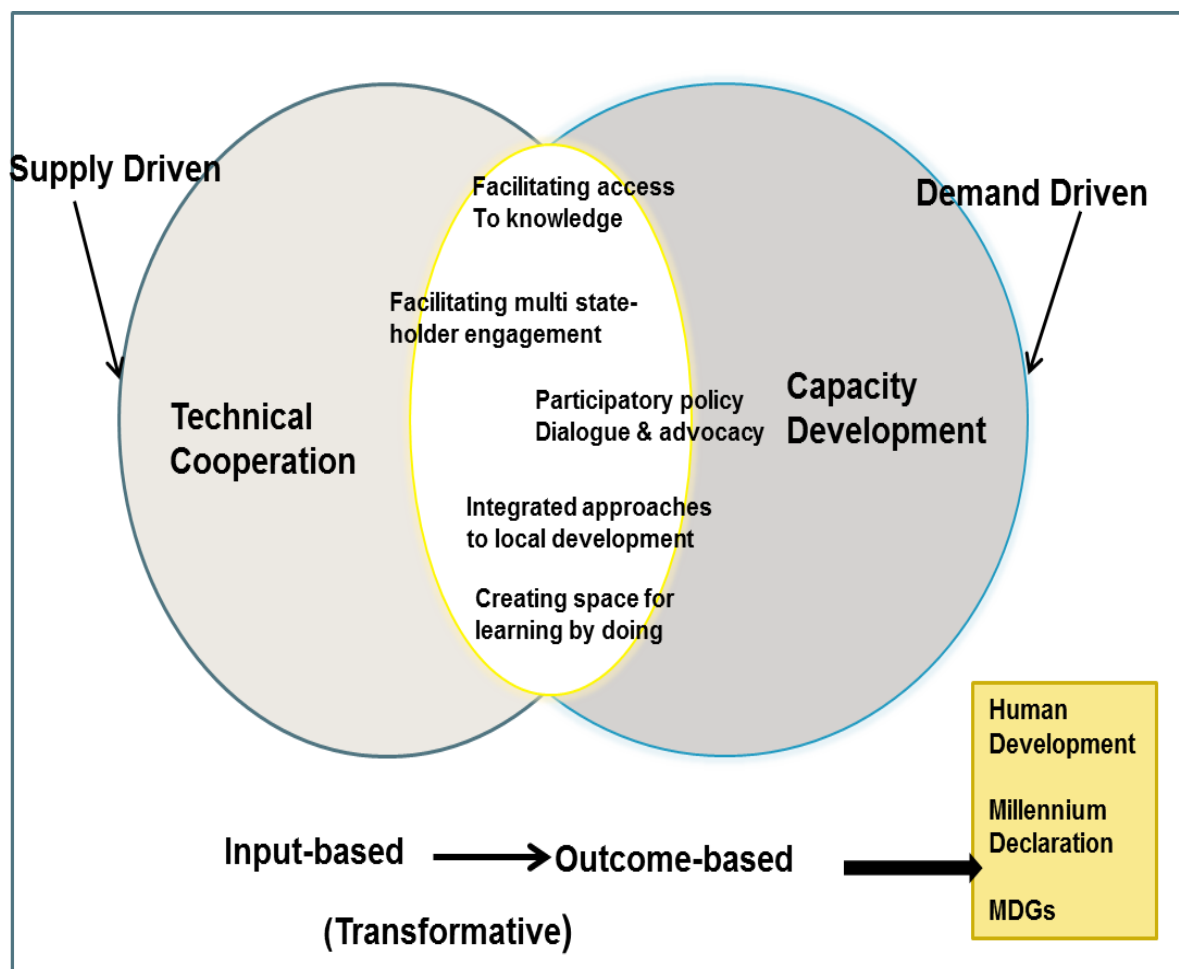
Developing countries have limited professional capacity to match the complex and sophisticated reforms proposed by IMF and WB.

- Solutions imposed unilaterally from outside cannot address the problems and concerns of developing countries, therefore, the need for developing countries to take ‘ownership’ of their development agenda and control forces impinging on their economies.

Developing countries lack management skills and organisational resource to meet their development objectives (Analoui and Danquah, 2017). Figure 2.1 shows the transition of technical cooperation to capacity development. Capacity development is not a stand-alone concept but an umbrella concept building on previous concepts with long-term, demand-driven perspective, seeking social change through sustainable social and economic development. Research suggests that the concept strengthens existing capacities. UNDP describe capacity development as a demand driven process characterised by:

- Stand-alone training activities do not bring about sustainable development.
- Foreign support is no longer seen as the sole vehicle through which capacity development occurs.
- CD is a long-term process that needs to be embedded in broader, endogenous processes that are owned by the participants, that are context-specific and that are as much about changing values and mind sets through incentives, as they are about acquiring skills and knowledge.
- External actors may undermine ownership and local capacity, the attention therefore is on adapting processes that seek to address the challenges of CD, thus promoting the role of management of change processes rather than the more interventional roles.

**Figure 2-1 from Technical Cooperation to Capacity Development**



Source: UNDP (2008, p. 23)

However, the concept of development means social, political and economic independence and international development assistance should not lead to perpetual dependence therefore the need to build the capacity of developing countries is important. Capacity development is related to human development because it is about enlarging the ranges of people's choices focusing on increasing their overall well-being, which depends on access to education and health care, freedom of expression, the rule of law, respect for human and the preservation of the environment. These can be achieved only through people; organisations and societies have the adequate capacities (UNDP, 2008).

It is therefore argued that capacity development is one of the effective ways of bringing about human development and also improved human development facilitates capacity development

process. SDGs is about development outcomes and capacity development is a means of achieving them, and donor community supports countries to develop their own capacities to effectively access and manage the resources required to achieve these goals.

Capacity development is viewed as synonymous with development assistance (Analoui and Danquah, 2017; Vallejo and Wehn, 2016; UNDP, 2010; Hope, 2009; Koning, et al. 2006; Potter and Brough, 2004; Lusthaus, et al. 1999; Morgan, 1998). The need for capacity development for sustainable development is universally accepted by all but the challenge posed to have a strategy, and approach across board for all that are involved in the process, Lusthaus et al. (1999) postulate that within the international community each has its own understanding of capacity development process, approach and strategy but this development does not erase the significance of capacity development in the process of sustainable development. They alleged capacity development and CB are used synonymously.

UNDP (2008) differentiate these concepts as; Capacity development involves the process of creating and building capacities and their use, management and retention, whilst CB is about the process of supporting the initial stages of building or creating capacities and alludes to an assumption that there are no existing capacities to start from. This research will use these terms synonymously, these are interrelated and the starting point that bears the difference.

Capacity development as a term of the development world has a different meaning; each definition reflects the ideas and the cultures of the organisations, so it will be helpful to provide different definitions of capacity development to highlight different aspects of the meanings (See box 2.1).

### **Box 2.1 – Definitions of Capacity Building/Development**

CD is the process by which individuals, groups, organisations, institutions and societies increase their abilities to (1) perform functions, solve problems and achieve objectives, and (2) understand and deal with their development in a broader context and in a sustainable manner (OECD, 2006).

CD as the process through which individuals, organisations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time (UNDP, 2008).

CB is the ability of individual, groups, institutions and organisations to identify and solve development problems over (Morgan, 1999).

CB is a process by which individuals, groups, institutions, organisations and societies enhance their abilities to identify and meet development challenges a sustainable manner (CIDA, 1996).

... capacity is the combination of people, institution and practices that permits countries to reach their development goals... capacity building is .... Investment in human capital, institutions and practices (World Bank, 1998).

CB “is the process of transforming a nation’s ability to effectively implement policies and programmes for sustainable development.” The concept is characterized by four important elements: the restructuring of value systems, the development of human capacity, the transformation of institutional capacity and the modification of organisational structure (Wubneh, 2003, pp.169 - 170).

Source: Compiled by the Author

Considering the above definitions, capacity development/building is a broad concept. The definitions of CIDA and UNDP focuses on three levels (individual, organisational and societal), OECD's definition has moved from the conventional concept of capacity development/building involving training, education and human resource development. This definition includes CIDA and UNDP levels and the objectives of CD strategies and its sustainability. Different authors have different meaning for capacity and capacity development and table 2.2 summaries the different meanings of capacity and elements of capacity.

**Figure 2-2 Summary of the Concept of Capacity and Capacity Development**

Author	Meaning of Capacity	Interest or focus of capacity
UNDP (2008)	<p>“the process through which individuals, organisations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time”</p> <p>(p. 4)</p>	<p>Individuals, organisations and societies</p> <p>Effort to strengthen skills</p> <p>sustainability</p> <p>Achieving development results</p> <p>Process</p> <p>Change in behaviour, norms and values</p> <p>Effectiveness</p> <p>Ownership</p> <p>Evaluation of capacity development</p>

		Accountability  Adaptation to local conditions
Potter and Brough (2004)	Capacity Building refer to “the creation, expansion or upgrading of a stock of desired qualities and features called capabilities that could be continually drawn upon over time” (p. 337). It is to improve the stock rather than managing whatever is available.	Performance  Personal  Workload  Supervisory  Facility  Support service  Systems  Structures  Role



Baser and Morgan (2008)	Capacity development is about the dynamics of change.	<p>The five Elements of capacity</p> <p>Capability to commit and engage</p> <p>Capability to carry out technical, service delivery and logistical task</p> <p>Capability to relate and attract</p> <p>Capacity to balance diversity and coherence</p> <p>Capability to adapt and self-renew</p>
Hope (2009)	Capacity development also referred to as capacity building, which means capacity enhancement or capacity strengthening. It is regarded as instrument, a process, an objective, a general approach to development and as well as a framework for change and transformation	<p>Competency of individuals, institutions, civil-society organisations and local communities</p> <p>Engagement</p> <p>Sustainable</p> <p>Achievement of beneficial goals</p>

		<p>Change</p> <p>Technologies and Science</p> <p>Abilities</p> <p>Improvement</p> <p>Process</p> <p>Ownership</p>
Grindle and Hilderbrand (1995)	<p>Capacity as the ability to perform appropriate tasks effectively, efficiently and sustainably.</p> <p>Capacity Building refers to the improvement in the ability of public sector organisation, either singly or in cooperation with other organisations, to perform tasks.</p>	<p>Ability</p> <p>Performance</p> <p>Task</p> <p>Effectiveness</p> <p>Efficiency</p>

		<p>Sustainability</p> <p>Organisations</p> <p>Framework for assessing capacity gap</p> <p>The action environment set</p> <p>The institutional context of the public sector</p> <p>The task network</p> <p>Organisations</p> <p>Capacity focuses on human resources</p>
Antwi and Analoui (2008)	<p>They also perceived capacity of organisation in an ‘Open System’.</p> <p>Capacity is the task performance which required achieving the purposes effectively, efficiently and sustainably at an individual,</p>	<p>HRD as the sub-dimension HRM</p> <p>Capacity emerged through ‘Open System’ of the organisation in which skills and abilities of employees are ‘input’. Employees behaviours are throughput or transformation and finally</p>

	community, organisation and governmental level	performance and satisfaction is the ‘output’ (p.508)
Franks (1999)	Capacity refers to the overall ability of the individual or group to actually perform the responsibilities.	Increasing capability  Enabling environment  Institution development
Lusthaus, et al. (1999)	Capacity development concept includes; institutional building, institutional development, human resource development, development/administration and institutional strengthening	The organisational approach  Institutional approach  System approach  Participatory process approach
Wubneh, (2003)	Capacity building “is the process of transforming a nation’s ability to effectively implement policies and programmes for sustainable development” (p. 169)	The restructuring of value systems  Organisational restructuring  Institutional capacity

		Human resource development
World Bank (2012)	Is a locally driven process of learning by leaders, coalitions and other agents of change that bring about change in socio-political, policy-related, and organisational factors to enhance local ownership for and effectiveness and efficiency of efforts to achieve a development objectives	<p>Strengthening stakeholder ownership</p> <p>Efficiency of policy instrument</p> <p>Effectiveness of organisational arrangements</p> <p>Learning</p> <p>Change</p>

Source: Adapted from; World Bank (2012); Hope (2009); Antwi and Analoui (2008); Baser and Morgan (2008); UNDP (2008); Potter and Brough (2004); Wubneh (2003); Franks (1999); Lusthaus et al. (1999) and Grindle and Hilderbrand (1995).

..... [C]apacity development is much more than supporting training programmes and the use of national expertise – these are necessary and on the rise, but we must include response and support strategies for accountable leadership, investments in long-term education and learning, strengthened public systems and voice mechanisms between citizens and state and institutional reform that ensures a responsive public and private sector that manages and delivers services to those who need them most.

..... [I]t is our collective responsibility and response to capacity development that gives meaning and shape to the principles of national ownership, and translates it into more sustainable and meaningful development outcome (UNDP, 2008, p. 3).

Koning, et al. (2006) state considering the concept there is a contrast between its conceptual predecessors on number points:

- Capacity development began with ‘macro reform’ in the late 1980s and 1990s
- Attention was focused on broader environment in a country in the developing capacity specifically institutional and social patterns.
- More multi-sectoral and systematic approach is used because organisations are interdependent actors whose activities are embedded in large systems and networks, and
- Finally, capacity development is seen as an activity driven by skills, knowledge, energy and commitment of participants. The process must be owned and accepted by all stakeholders, without that commitment and ownership capacity development will be simple not viable and sustainable. The table 2.3 summarizes the conceptual predecessors to capacity development.

**Table 2-2 Conceptual Predecessor to Capacity Building/Development**

<b>PERSPECTIVES</b>	<b>PERIOD</b>	<b>APPROACHES</b>
Institution Building	1950s and 1960s	<p>Equipping developing countries with the basic inventory of public sector institutions required to manage a programme of public investment</p> <p>Focus on and design individual functioning organisations</p> <p>Imported models from the developed countries were often used</p> <p>Training in developed countries universities</p>
Institutional Strengthening	1960s and 1970s	<p>Improving existing organisations as opposed to “establishing” new ones</p> <p>Focus still on individual organisations and training in the developed countries</p> <p>Tools were expected to help improve performance</p>
Development Management	1970s	<p>Objectives was to reach special public or targeted groups previously abandoned</p> <p>Decentralization and integration of public programmes with programmes of integrated rural development</p> <p>Focus on improving deliver systems and public programmes to reach target group</p>
Human resource development	1970s and 1980s	<p>Development is about people</p> <p>Stresses importance of education, health and population</p> <p>Emergence of people-centred development</p>
Institutional Development	1980s	Development private sector, NGOs and government

		<p>Organisational effectiveness is based on and related to both internal and external environment</p> <p>Moving beyond individual organisation and institutional development began to address the sustainability issue (not just what works but what lasts)</p> <p>Moving away from blueprint approach and more emphasis on broader sectoral perspectives</p> <p>Attention to shaping national economic behaviour and institutional economics</p>
Capacity Building/Development	1980s and 1990s	<p>Re-assessed the notion of TC</p> <p>Stressed importance of local ownership and process</p> <p>Participatory approaches as the key</p> <p>Seen as “the way to do development”</p>
Capacity Building/development and knowledge network	2000s	<p>Increased participation in capacity building</p> <p>Emphasis on continuous learning and adaptation</p> <p>Balancing result-based management and long-term sustainability</p> <p>Systems approach and emerging talk of complex systems</p> <p>Emphasis on need assessment/analysis</p> <p>Spread of ICT-based knowledge network</p> <p>Increased donor coordination</p>
Participatory Capacity building/Development	2010s	<p>Developing and empowering partnership involving high degree of ownership</p>

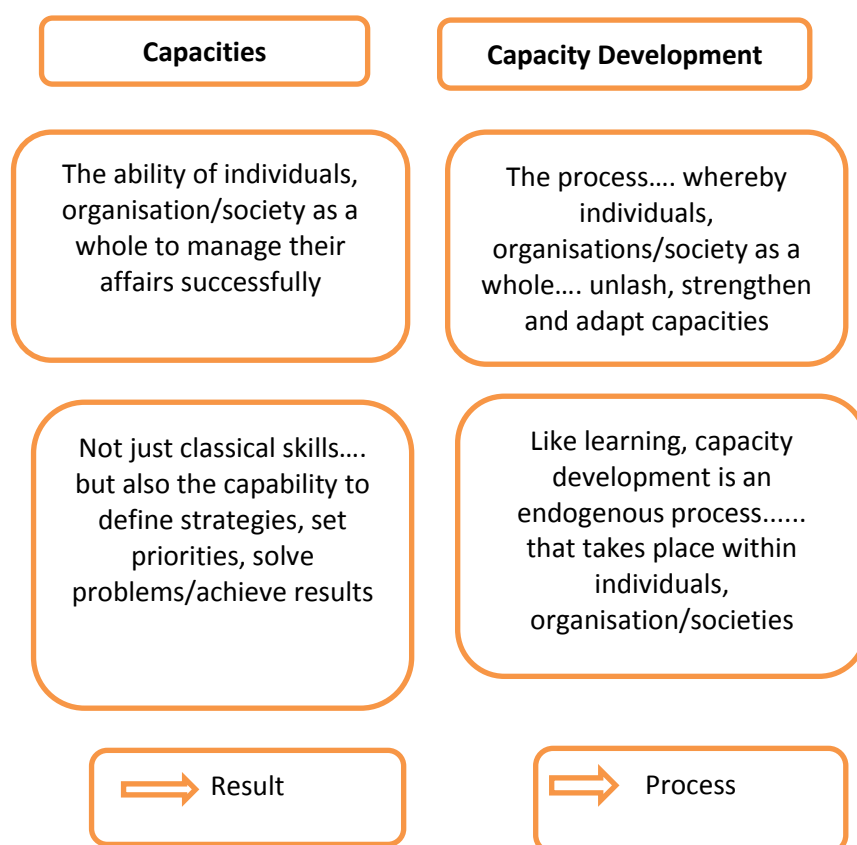


approach		<p>Involving change and transformation of all actors</p> <p>Two-way process in which the capacity of actors on both sides of the intervention is strengthened</p>
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Source: Adapted from; Blagescu and Young, (2006, pp. 4) Lusthaus, et al. (1999, pp. 2 - 3)

The question of capacity and capacity development has a specific debate in the development discourse for many years, according to Antwi et al. (2007) the absence of capacity necessitate capacity development; hence effective capacity development must be preceded by assessment of existing capacity to determine the shortfall in capacity. It is understood, capacity development is a process used by donors to foster existing capacity through capacity development initiatives, which are conducted via so-called interventions. These interventions are carried out to enhance over time the capacity of individuals, organisations and societies in an effort to foster their knowledge and skills and strengthen their own existing capabilities and competencies. Figure 2.2 shows the difference between capacity and capacity development.

**Figure 2-3 Capacities and Capacity Development**



Source: Adapted from; UNDP (2008); ADA (2011); Antwi et al. (2007)

Capacity development is being described by UNDP, OECD, CIDA and Morgan, (1998) as both a means and an end, and assessing the impact requires a balanced approach between these two views. UNDP (2008) argue that capacity development initiatives main objective is about enhancing knowledge and skills. In principle, capacity development aims at solving or changing problems and improving performance (OECD, 2006). However, capacity development is about change, effectiveness, capabilities and sustainability. According to Vallejo and Wehn (2016, p. 3) capacity development “interventions are planned, consciously or unconsciously, on the basis of assumptions, behavioural change, development theories, and experience. This combination of inputs leads to planned – and, more importantly, emergent (non-planned) – changes that cannot be easily measured.”

**Change:** UNDP (2008) mention that change is about moving away from the old ways of doing things, like change in behaviour, skills, norms, values, knowledge and attitude. Change is defined as “to cause to move, to pass from one state to another” (Analoui 2007, p. 262 cite Chamber Dictionary, 1998). UNDP recognises change at three different levels in capacity development process, these includes individual level (experience, knowledge and skills), organizational level (internal policies, arrangements, procedure and framework) and enabling environment (policies, legislation, power relations and social norms). Capacity processes are complex involving human behavioural changes which influences and govern the more technical consideration with regards to organisation structure and systems (Koning, et al. 2006).

Analoui (2007) assert that managers recognise change as a difficult process, but those who ascribe to the classic school of thought argue that change is unnecessary at worst and cosmetic and minimal at its best. The proponents of human relations believe that change should be gradual and incremental. They agree to change process but still unhappy to attempt structural change. Finally, the supporters of open system view changes as an important

process and organisation as being in a constant state of perpetual change. He concludes that all persons in organisation should be prepared for change and managers should learn how to manage it as it happens. To accomplish effective change, increase the amount of influence and the involvement of the people being asked to change, resolve their concerns as you go.

The change literature outlines a number of different strategies that relate to how management can help organisation move from decision-making to action. Meyer and Stensaker (2006) argue that organisations have different capacity to implement change and this capacity can be developed. They concluded that for organisations to be able to implement change, they must have these three capabilities:

- Capability to implement subsequent changes.
- Capability to maintain daily operations, and
- Capability to implement a single change.

**Effectiveness:** UNDP (2010, p. 9) defines effectiveness as “the degree to which an institution achieves its agreed objectives or mandate.” It is about improving the quality of policy to better serve the needs of beneficiaries and improving the implementation of programmes (by having better talent management systems that attract and retain talent). Koning, et al. (2006) postulates that for effectiveness of capacity development initiative is about bringing differences as to the performance of individual participating in the project and in the performance of the organisation in which they work.

Capacity development initiatives are prepared to respond to challenges in institution capacities. Institutions design programmes to develop capacities in order to bring about positive change to the characteristics of functions performed, product produced, or service provided which will increase the likelihood of achievement of strategic and operational

objectives and consequently increases effectiveness. Effectiveness is an indicator of quality or adequacy of output quantity/quality (UNDP, 2010). Good planning coupled with effective monitoring and evaluation can contribute to effectiveness of capacity development initiatives (UNDP, 2008). However, as argued by UNDP, Analoui and Danquah (2017); Analoui (2007); Baser and Morgan, (2008); capacity development is about effective change in managing, planning, Implementing and achieving development on sustainable manner.

Empirical studies suggest that the dimensions of effectiveness varies, for example Herman and Renz (2004) identified nine distinct dimensions of non-profit organisation of effectiveness: financial management, fundraising, programme delivery, public relations, community collaboration, working with volunteers, HRM, government relations, and board governance. Other authors, LeRoux and Wright (2010) measure effectiveness based on strategic decision-making process but according to Taysir and Taysir (2012) in order to effectively measure effectiveness, evaluators need qualitative or quantitative indicators. Several researches have assessed different set of variables.

Organisational effectiveness refers to how successfully organisations achieve their objectives. Its measures are particularly about with the understanding the unique capabilities that organisations develop to ensure success (Chang and Huang, 2010). Capacity development effectiveness is not only determined by technical, but first and foremost to do with political and governance. It can only be sustained when the appropriate political, accountability and leadership arrangement are in place (Pearson, 2011, p. 12).

**Capabilities:** Capability refers to “the knowledge, skills and attitude of the individual, separately or as a group, and their competence to undertake the responsibilities assigned to them (Franks, 1999, p. 52). He further argues that education and training plays a vital role in increasing the capabilities of people in different sector. Capabilities enable an

institution/organisation to function and to sustain itself. However, Baser and Morgan, (2008) assert that capability is the collective skills of organisation to carry out a particular function either inside or outside the system. Collective capabilities are important to capacity development, and in order for organisation/institutions to create public value it must have competent individuals to generate development results. Baser and Morgan (2008) identified five core capabilities which are found in all organisations or systems; shown in figure 2.4.

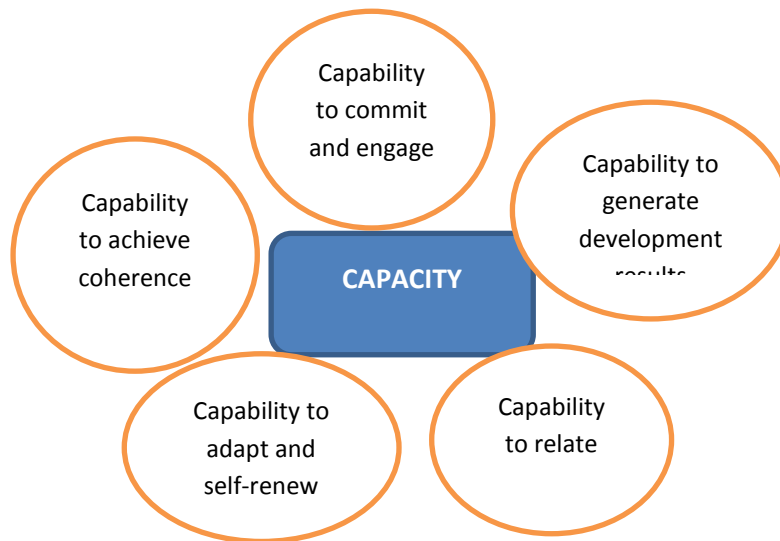
- Capability to commit and engage – Within the development co-operation much attention is being focused on ownership and motivation towards capacity development. Organisations must be able to develop its own motivation and commitment, configure it, adapt and adopt to overcome the enormous constraints. This capability is about human, social, organisational and institutional energy and agency, and this is related to ‘second order’ change which is connected to deeper patterns of behaviour that are partly structural, psychological and usually deeply rooted. Many organisations may lack commitment, capacity and performance equilibrium which is a typical example of weakened systems. The lack of this core capability leads to ineffective processes of CD, which in turn leads to unsatisfactory performance and lack of results becomes the obvious option. This core capability depends on a series of skills including: (a) the ability to encourage mindfulness; (b) the ability and willingness to persevere; (c) the ability to aspire; (d) the ability to embed conviction; (e) the ability to take ownership and (f) the ability to be determined.
- Capability to generate development results – this is the second core capability that underlie the thinking of capacity issues. Organisations deliver results, services and functions in the form of policies formulation, activities and regulation, to be able to accomplish these, there is the need to be supplemented and combined the other four

core capabilities. The core capability to carry out technical, service delivery and logistical includes the following capabilities: (a) to deliver service; (b) for strategic planning and management and (c) for financial management.

- Capability to relate – this important in all human systems because there is the need for capability to relate and survive within the environment and connect with other actors. Capacity is not only about capability to achieve results but capacity is about the ability to plan, manage and sustain important factors for survival. Organisations should form a partnership with others to be able to bring about new products. However, when so doing the organisation must continue to operate freely and be able control and buffer. This will needed in order to sustain itself in a difficult environment. Low-income countries that have difficulty putting in place organisational and institutional infrastructure requires this type of capabilities. The core capability to relate include: (a) to earn credibility and legitimacy; (b) to buffer the organisation from intrusions; (c) to earn the trust of others, such as donors and clients; and (d) to combine political neutrality and assertive advocacy.
- Capability to adapt and self-renew – from this perspective, organisation needed strategies to confirm to the global world in other to get ideas and support from donor communities. Developing countries must adapt and self-renew for donor budgetary support, the capabilities associated with this dynamic change include: (a) to improve individual and organisational learning; (b) to foster internal dialogue; (c) to reposition and reconfigure the organisation; (d) to incorporate new ideas; and (e) to map out a growth path.
- Capability to achieve coherence – all organisations need different capabilities, interest and identity, and vary degree of perspectives, this help organisation to build

resilience, however, balancing diversity and coherence is important to encourage stability and innovation by preventing breaking the organisation apart. The capability to achieve diversity and coherence include: (a) to communicate; (b) to build connections; (c) to manage diversity; and (d) to manage paradox and tension.

**Figure 2-4 Elements of Capacity**



Source: Adapted from Baser and Morgan (2008, p. 26)

**Sustainability:** “refers to a concept of self-organisation rather than to the narrower concept of preserving the existence of a particular organisation” (Koning, et al. 2006, p. 58). It is particularly essential for capacity development initiatives because it’s about development of capacity that is retained in an organisation for further advancement. The term sustainability is used in all sphere of human life as development experts and practitioners seek to assess the long-term impact of their projects, and it is often used to describe the desired goal of lasting change within institutions, communities, and projects (Servaes, et al. 2012).

Scoones, (2007) postulate that sustainability is the ability of a system to bounce back from shocks and stress and adopt stable states. Historically, the term was used to prescribe how natural resources should be managed on a long-term basis. However, the term has been adopted within the development co-operation and the term sustainable development has



emerged. According to Servaes, et al. (2012) sustainable development emerged in the late 1970s the need to balance economic and social progress with concern for the environment and the stewardship of natural resources. “Sustainable development is about development that meets the needs of the present generation without compromising the ability of future generations to meet their own needs” (Scoones 2007, p. 590 cites WCED, 1987a).

Views expressed by Servaes, et al. (2012) that development aid cannot bring development or lack of success cannot be blamed on development aid but sustainable development policy requires a country or context-specific professional analysis, not a one-size-fits-all approach. The challenge for organisations to achieve sustainable development depends on the exponential growth in planning approach, analysis frameworks, assessment indicators, audit systems and evaluation protocol designed to help individuals, communities and government to make it a reality.

Capacity of an organisation is the ability to create public value with competent people committed to generate results, collective capabilities to support and manage the structure for sustainability, and able to attract these things together with some sort of integration, synthesis and coherence. Capacity can emerge through the interaction of all these elements, as it has been defined by different researcher, capacity development is about increasing or releasing people's, institutions and organisations potential to do what is required of them to bring about sustainable development. O'Hare (2010) summing the work of Southern (2002) identify organisational and financial planning; HRM; risk management; performance management; marketing management; strategic management; relationship management and technology management as part of capacity development which add to “change management.”

Capacity development is concerned with increasing the ability to use existing resources in an effective, efficient, relevant and sustainable manner, with regards to the core capabilities,

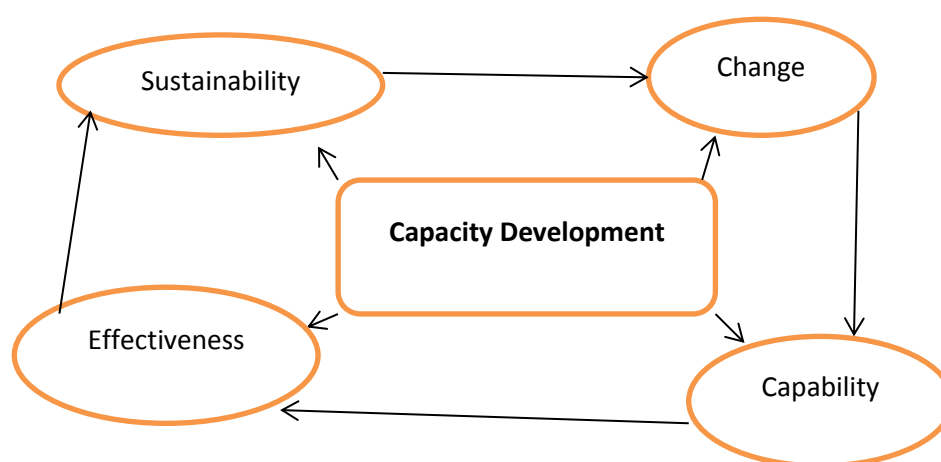
capacity development approach is about learning by doing, takes a holistic approach that recognises the interdependence of actors and systems, and seek to balance the need for short term results in satisfying social needs with the need for long-term improvements in capacity (Lavergne and Saxby, 2001). Analoui and Danquah (2017); UNDP (2008); OECD (2006); Lavergne Saxby (2001); CIDA (1996) describe capacity development as a process in its own right which involves individuals, groups, organisations and societies to improve their capacity to plan, identify and meet development challenges in a sustainable manner.

The development community can provide resources and facilitate the process, but cannot deliver the desired results; therefore, there is the need for ownership. Donor partners must help in the determining where the approach should be placed, practitioners are not satisfied with building of roads and bridges, however Lavergne and Saxby, (2001) postulate that practitioners emphasize the efficiency and effectiveness in planning, managing, building and maintaining a particular Ministry or Department or similarly, they will not be satisfied with the production of blue-print with the use of expatriates. For capacity development to achieve the needed impact there should be a fundamental shift in priorities, methods and culture with regards to how donors handle these issues.

According to Pearson (2011) training is central in all capacity development and technical co-operation initiatives implemented by donor organisation and others in developing countries. However, many donors concerned with capacity development are changing strategies to look beyond training to broader conceptions of, and approaches to, learning. Both training and technical assistance (TA) should be perceived as key component of technical co-operation (TC), which in turn should be integrated into broader capacity development processes. Therefore, training and learning practices cannot be separated from a broad spectrum of TA, TC and capacity development initiatives. For example, about design and assessment, because they should be integral to an array of responses to capacity needs (Pearson, 2011, p. 13).

Figure 2.5 shows the four elements of capacity development. These four elements are like a web that connects to each other to achieve sustainable development.

**Figure 2-5 the four Elements of Capacity Development**



Source: Author's Compilation

## 2.7 Uses of Capacity Development in the Development Practice

The challenge of capacity development for effective service delivery has been the main agenda for most Africa countries since their independence. There are many constraints that are working against Africa countries capacity development efforts including institutional and the resource for meaningfully design and implement their developmental intervention (Saasa, 2008).

To address these constraints, capacity development and enhancement have been recognized as being central in these countries development process. Moreover, there is intense pressure on African leaders to incorporate capacity development in all development activities and that without it; even past and present development achievements could be eroded. Similarly, donor agencies are also doing self-examination in the aspect of the degree to which aid, for example, is helping in strengthening capacity development in developing countries (Saasa, 2008).

Capacity and capacity development have been pervasive concept in the development co-operation, and capacity is considered as an outcome and capacity development as a process (Baser and Morgan, 2008), to emphasize capacity development matters in the development co-operation and it does not mean that other development goals should be neglected but the concern should be for appropriate balance (Lavergne and Saxby, 2001). However, Hope (2009) counted that for example capacity development is regarded as an instrument, a process, an objective, a general approach to development, as well as a framework for change and transformation. He describes it as not a stand-alone training intervention, but rather a strategically co-ordinated set of activities aimed at individuals, institutions and sectors.

It is therefore necessary to point out that it can applied in all sphere of human life and there is no need having capacity to plan, manage and maintain, but no resources. For capacity development to achieve the needed objectives or to correct the biases of inherent in development co-operation for tangible, short-term results, that lead to the neglect of it as a day-to-day preoccupation (Lavergne and Saxby, 2001). They further argue that to correct this inherent; requires two types of response: capacity development must be adopted as an approach to some degree in our daily life's; and the pursuit of initiative specifically designed to build capacity. Capacity development as an approach must promote development in a systematic and substantial manner. Capacity development as a project or initiative must define its goals, objectives or outcome.

### **2.7.1 Capacity Development as an Approach**

The experience of UNDP provides ample evidence that is well known in the international development co-operation, of what is meant by a capacity development approach. UNDP strategic plan 2008 – 2011 position capacity as the organisation's overarching service to programme countries. The strategic plan is framed by the 2007 UN Triennial Comprehensive Policy Review (TCPR) that emphasizes capacity development and ownership of national

development strategies are essential for the achievement of internationally agreed development goals, including the MDGs and now SDGs. It also calls on United Nations organisations to provide further support to the effort of developing countries to establish and/or maintain effective national institutions and to support the implementation and, as necessary, the devising of national strategies for capacity development (UNDP, 2008).

In a similar vein, International Development Research Centre (IDRC) has adopted capacity development as an approach since its inception in 1970. IDRC has tried to promote indigenous capacity at an individual and organisational level through learning by doing, while taking a long-term perspective (Lavergne and Saxby, 2001). IDRC has pursued capacity development approach through the following convention that is incorporated into their corporate principle;

- Supports only organisations in developing countries or partnerships between developing country organisations and Canadian ones
- Leadership for proposal development is vested in those (mainly Southern) organisations, as is the responsibility for execution of projects and for results
- Project fund are disbursed directly to the host organisations without a Canadian executing agency to act as intermediary and
- IDRC officers provide technical support, and put researchers in contact with other researchers using a networking format.

However, UNDP approach to supporting capacity development is driven by values and it consists of a conceptual framework and methodological approach. It is based on the following basic principles:

- National ownership

- Power relation and emphasize the important of motivate as a driver of change
- Capacity development is a long-term
- It requires sticking with the process under difficult circumstances
- Promotes a comprehensive approach
- It looks beyond individual skills and focus on training to bring about institutional change, leadership, empowerment and public participation
- Emphasizes the use of national systems
- Adaption to local conditions
- It makes the link to broader reforms
- Measures capacity development systematically, and
- Unplanned consequences are kept at the design phase.

The WB designed the capacity development result framework to respond to development issues by bringing together existing thinking and practice into a result-oriented resource that can guide capacity development efforts (Otoo et al. 2009). From the World Bank's perspectives capacity development is a locally driven process by which change agents affects socio-political, policy, and organisational factors to achieve sustainable development goals. The process or plan for capacity development must not be a blue-print because circumstances affecting any country are diverse and complex, the World Bank (2004) proposes that capacity development should be an iterative process, pragmatic and self-correcting. The principles on which this process should be based are captured by the following concepts;

- Country ownership

- Broad stakeholder consultation
- Open-eye and cost effective needs assessment
- Strategic planning
- Closely monitored and flexibly managed implementation.

These illustrate how a capacity development approach can be adopted regardless of the organisation and its primary objective of development activity.

### **2.7.2 Capacity Development as a Project or Initiative**

The Project Management Book of Knowledge (PMBOK) defines a project as ..... a temporary endeavour undertaken to create a unique product or service. Temporary means that every project has a definite end. Unique means that the product or service is different in some distinguishing way from all similar products or services (Burk, 2007, p. 17), therefore it is possible to design project specifically for the purpose of capacity development and Lavergne and Saxby (2001) argue that in such cases they are not an approach and their objectives are defined in terms of increased capabilities.

Capacity development project fill the gap that has been identified for action by one or more development agencies. They are usually training, education or organisational development but these would not be sufficient to qualify them as capacity development (Lavergne and Saxby, 2001). However, Lusthaus, et al. (1999) postulate that capacity development is about institution building, institutional development, HRM, development management/administration and institutional strengthening.

For example, the European Commission's (EC) largest health project started, a Sector Investment Programme (SIP) intended to assist the Government of India in implement a new policy framework for its family welfare sector. This new policy direction was the result of

India's participation in the International Conference on Population and Development (ICPD) in Cairo in September 1994 (Lavergne and Saxby, 2001, p. 336).

Morgan (1998) has identified six possible roles and strategies that donors may adopt in designing capacity development initiatives:

- Helping to shape an enabling institutional environment;
- The promotion of new technologies to extend the reach of information and dialogue;
- Helping development actors at different level to settle on clear strategic direction;
- Helping to improve organisational capabilities and incentives system;
- The promotion of innovative approach for the sharing of experience within and across national boundaries, and
- The provision of opportunities for experimentation and learning through pilot projects and attention to systemic constraints on innovation and learning.

Effective capacity development initiatives find ways of breaking out of recurring patterns and shifting behaviour to a new level. Different organisations adopt different approach but all depends on the nature of the context and the task. From the UNDP point of view, capacity development involves three levels thus; individual, organisation and institution or society. This involves investment in long-term training and learning programmes to empower these actors to be capable to function on their core duties for the benefit of all but capacity development outcome may not evolve in a controlled and linear scale. In developing the capacity of these actors, there are opportunities and challenges, but if these will help communities and nations achieve sustainable development. Arguably, capacity development as an approach or project has two core main objectives thus, to bring about development and



also change. According to Otoo et al. (2009) capacity development is the availability of resources and the efficiency and effectiveness with which societies deploy those resources to identify and pursue their development goals on a sustainable basis, their definition laid emphasis on three facts:

- Resources availability (human, financial and technical): These are necessary conditions for achieving development goals but not sufficient enough to meet such goals.
- Effectiveness and efficiency: with which resources are acquired and used depend on specific configurations of socio-political, policy-related (institutional), and organizational factors that condition the behaviour of political and economic actors.
- Social and economic development: is sustainable when results and performance are locally owned and can be replicated/scaled up by local actors.

Availability of resources is an ongoing challenge for development, the deficiencies in intangible socio-political, policy-related and organisational factors referred to as capacity factors. These intangibles constraint performance and results, and they also determine the efficiency and effectiveness with which resources are used to achieve development goals. Effort geared towards increasing capacity for development is same as a process of socio-political, policy-related and organisational change (Otoo, et al. 2009).

## **2.8 Development Projects or Initiatives**

Support for capacity development account for about 25% of all international development assistance (Lange 2013), and according to Diallo and Thuillier (2004; 2005) International Development Assistance (IDA) is provided through projects to developing countries, aim at improving living standards for example enhancing education, health and agriculture. These

projects are financed by multilateral development agencies (World Bank, European Union, UNDP, Inter-American Development Bank, African Development Bank, Asian Development Bank and the like), bilateral agencies (USAID, CIDA, French Cooperation) and many organisations and departments of international cooperation established by former colonial masters and industrialized countries (Diallo and Thuillier, 2005).

These projects are less seen by the society unlike emergency projects, but they generally yield more sustainable and longer-lasting results (Golini and Landoni, 2014), they are either “hard” (civil works, railroads, power plants, etc.) or “soft” (education, health, human development, CB.) projects (Diallo and Thuillier, 2005). ID projects outcome are grouped into seven categories; household, infrastructure development, government benefits, macroeconomic resilience, gender and social effects, environmental effects and private sector development (Arvanitis et al., 2015).

Due to their peculiar importance, they are attracting increasing funds and human capital (Diallo and Thuillier 2005; OECD 2012&2013), for every year, the international community provides assistance to developing countries and for instance during 2008, the Organisation for Economic Co-operation and Development (OECD) of the Development Assistance Committee (DAC) alone contributed around US \$510 million (OECD, 2008). The World Bank (WB) in 2004 was supervising approximately 1500 projects (Diallo and Thuillier, 2004).

ID projects are sets of practices in struggles for human development, justice and equity. Project-oriented approach to development has aimed to enhance efficiency in the use of resources and to facilitate coordinated action. Development agencies have increasingly adopted project management tools drawn from business management and ‘new public’ that

lay out precise and detailed blue-prints for time-bound, to ensure, supposedly, that initiatives are transparent, achievable and accountable (Frediani et al., 2014, p. 2).

ID projects outcome are considered in line with the MDGs (Arvanitis et al., 2015). In 2000 the leaders of IMF, OECD, UN and WB adopted the Millennium Declaration which led to the formulation of eight Millennium Goals. These goals are the cornerstone of strategic direction (Norren, 2012). Since the development of these goals, there have been different schools of thought; (1) Optimists – see the goals as a vehicle for transforming the human condition, (2) Radical critics – the goals are diversionary tactics to divert attention away from the real issues growing global inequality and gender disparity, (3) Strategic realists – the goals are essential to achieving and preserving political commitment, and (4) Sceptic – the goals are well-intentioned but badly thought out. Moreover, United Nations Conference on Trade and Development (UNCTAD) described the MDGs as existing because of a lack inclusive strategy of economic development (Norren, 2012).

These projects are managed with some management tools to assess their impact on beneficiaries, example Project Cycle Management (PCM) and Logical Framework (LF) (Gasper, 2000; Khang and Moe, 2008; Baum, 1982). The management of such projects are done either by national project management units acting with autonomy, or by teams of nationals embedded into ministries, national departments, or institutions. The project management unit manages administrative processes, for example, within the multilateral agencies the team is involved in the procurement, organisation and control of activities carried out by engineering firms, subcontractors, consultants, etc. (Diallo and Thuillier, 2005).

Considering the literature on stakeholders of ID projects, different authors have identified different stakeholders. Below are three examples;

Diallo and Thuillier (2005) identified five stakeholders:

1. *Project coordinator* – responsible for the day-to-day management, and also in charge of the operations and leads the project team.
2. *Task manger* (Multilateral agencies) – supervises the project's implementation and makes sure that guidelines of the international institution are strictly adhere by the project's national management unit.
3. *National supervisor* – high-ranking civil servant to whom the national coordinator reports.
4. *Project team* – Under the coordinator's authority. The team works with the coordinator and
5. *Firm* – Engineers, subcontractors, consultants.

Golini and Landoni (2014) identified nine stakeholders

1. *Project manager* – Manages the project, achieves objectives, meet stakeholder's interest
2. *NGO* – Manages project portfolio, stakeholders, fundraising
3. *Donors* - Provide relief and help to the beneficiaries, gain a positive reputation in their community. Verify the goals of the project are fulfilled
4. *Multilateral agencies* – Supervision and monitor the progress of the project
5. *Local government and institutions* – Supervise, prioritize projects, align project aims with government objectives, provide help to the population, gain positive public image, attract additional aid

6. *Beneficiaries* – Recipients of the project, align project objectives with their needs
7. *Local population* – Compete to receive aid, can create obstacles or facilitate the project, generate positive or negative public opinion
8. *Local implementing partners* – Earn money, participant in several projects.

Diallo and Thuillier (2004) identified seven stakeholders directly involved in processes of development projects;

1. *Project coordinator* – Manages the operations and leads the project team
2. *Task manager* – Ensures project guidelines are strictly respected
3. *Supervisor* – He/she receives project report
4. *Project team* – The team is not really an external actor but no matter what it's influence, the coordinator cannot function effectively without the project team
5. *Steering committee* – Act as an interface with the local institutional system and the lower levels of government concerned directly or indirectly with the project and
6. *Beneficiaries* – Theoretically they are the 'client' of the project. They influence the direction of the project but they often have little impact owing to the lack of representative authorities or organisations, and
7. *Population* – They are voters and it is important to have them support the project.

For projects to succeed, it is necessary to involve all stakeholders in the project life cycle. It could be concluded that lack of involvement and communication may lead to an inaccurate definition of the project's objectives. However, the success of the project is dependent on the

quality of interpersonal relationship and communication between stakeholders (Diallo and Thuillier, 2005).

The literature on the characteristics of ID projects are dispersed, different authors have different list, however, according to Golini and Landoni (2014) there are six characteristics that ID projects usually exhibit. Table 2.3 shows the ID project characteristics, supporting literature and evidence in ‘hard’ and ‘soft’ projects.

**Table 2-3 the characteristics of ID project**

<b>Characteristics</b>	<b>Supporting literature</b>	<b>Hard projects</b>	<b>Soft projects</b>
Lack of specific customer	Ahsan and Gunawan, (2010); Ika, (2012); Moe and Pathranarakul, (2006)	Difficult to determine the actual users of a certain structures in a crowded environment	The targeted poor voices may not be heard
Too much number of stakeholders involved in the project	Youker, (1999); Saad et al., (2002); Steinfort (2010); Zhai et al. (2009); Diallo and Thuillier (2005)	Involves many stakeholders who are to be managed	Few stakeholders but higher possibility of conflicting interest
Complex project environment	Quartey (1996); Muriithi and Crawford (2003); Youker (1999); Diallo and Thuillier (2004); Khang and Moe (2008); Ika et al. (2012); Zhai et al. (2009)	Natural disasters can increase cost of the project and prone to higher risk	Higher risks due to political and social instability

Scarce resources	Quartey (1996); Youker (1999); Muriithi and Crawford (2003)	Budget constraints is a major problem	Lack of skilled resources impeding implementation
Adaptation of project management technique are difficult to use in certain environment	Ahsan and Gunawan, (2010); Ika et al., (2012); Chan and Raymond, (2003); Crawford and Bryce, (2003); Muriithi and Crawford, (2003)	Stakeholder are different not only in terms of culture, but also on the level of instruction. Where corruption is problematic, tools that can foster transparency are not well accepted	Important to take into account different levels of instruction and religious orientations
Intangible project outputs which are difficult to measure	Ika et al. (2012); Khan and Moe (2008); Ahsan and Gunawan, (2010)	Immediate objectives are well-defined but long-term objectives can be difficult to define	Project results can be difficult to measure

Source: Adapted from Golini and Landoni (2014, p. 124)



## **2.9 Levels of Capacity Development Intervention**

Capacity development has been used in different ways and contexts; at various level of analysis, ranging from the individual to the nation, state and within different types of intervention (Cornforth and Mordaunt, 2011), for example in the field of development, Morgan (1998, p. 6) describe as “risky, murky, messy business, with unpredictable and unquantifiable outcome, uncertain methodologies, contested objectives, many unintended consequences, little credit to its champion and long-time lags.” Lusthuas, et al. (1999) suggest it is an elusive term and Hailey and James, (2003, p. 1) postulate it is “open to a number of different interpretation.” It is therefore important to understand the term, its usage and at what level capacity can be built or developed.

Many practitioners and academicians have argued that capacity development is concerned with developing the capacities of a system so that it can performs effectively (Cornforth and Mordaunt, 2011 cites Cairns et al. 2005; Gazley and Christensen, 2007). However, UNDP (2008) definition reflects the viewpoint that capacity can be built with individuals, organisations and within enabling environment. They argue that sometimes these words are used interchangeably, for example, organisational level is occasionally called institutional level and the enabling environment is sometimes called the institutional or societal level. This difference in the usage of the terminologies underscore that capacity exists at all levels. The relatedness implies that capacity development should be holistic approach – involves all levels. From the UNDP viewpoint, capacity can be built within organisations, individual and enabling environment.

### **2.9.1 Organisational Capacity Development**

For the purpose of this research, the researcher will adopt the Cornforth and Mordaunt (2011, p. 432) definition of organisational capacity development as “developing of the capabilities

of an organisation to improve its effectiveness and sustainability.” According to UNDP (2008) organisational capacity development involves internal policies, arrangements, procedures and framework that allows an organisation to function on their core mandate, and that ensures the coming together of capable individuals to function and deliver on their goals. If these are arranged in a well effective manner, the capability of an organisation to perform will be greater than the sum of its part.

In essence the coming together of individual skills, ideas, knowledge, talent and creativity to help organisations (private and public) to achieve sustainable development for society betterment. To achieve these, it involves multi-dimensional resources, structures, strategies and process concerning leadership, management, and human resources, technical or financial capacity. Other authors like Cornforth and Mordaunt, (2011) have identified capabilities relating to organisational ability to adapt and change, such as adaptive, absorptive, innovative, entrepreneurial, and transformative capacity. Based on Potter and Brough (2004) organisational capacity development is an inter-dependent process because the success of developing capacity in one sector may depend on developing capacity in another. They further argue that, to have an effective complex and inter-dependent capacity development one must have a holistic approach (identifying all needs). Fundamentally, organisational capacity can be grouped and categorised in different ways.

In the field of development, institutional development is widely used. Institution is defined as stable, valued, reoccurring patterns of behaviour and in practice they are applied to rules and procedures for regulating human interaction (Franks, 1999). Institutions should provide a platform that ensures that regulations are adhered to and mechanism are developed, adopted, refined and disseminated. It serves as cement that holds together and manages the various actors and inputs needed to promote sustainable development. Effective institutions ensure continued delivery of benefit long after development assistance has elapsed. In essence

institutional capacity development for sustainable development should involve judicious partnership between the various actors involved (Mulugetta, 2008).

Organisational capacity development remains complex and it encompasses three main activities; skill upgrading, procedural improvement and organisational strengthening. It also requires the combining together of human, financial, network, knowledge, systems and culture in such a way that brings about change in people's behaviour and also helping organisations to function effectively. Moreover, it refers to investment in individuals and practices that will enable developing countries achieve their development objectives in a sustainable manner.

Selecting the right organisation for capacity development is as important as choosing the scope of capacity development focuses. Different approaches have attempted to develop organisational capacities by means of generic training in subjects such as “building partnership” or “project implementation” have had limited impact. Importantly, some organisations are more crucial than others, and selecting a single organisation for capacity development initiative can create a problem called “island of excellence” which contribute very little to overall improvement in the system (OECD, 2006).

### **2.9.2 Enabling Environment Capacity Development**

UNDP has adapted the term enabling environment to mean broad system within which individuals and organisations function and one that enables or impedes their existence and performance in the achievement of set goals. In other sense, institutional capacity development means enabling environment; authors like Baser and Morgan (2008) argue institutional capacity development concern with the formal and informal rules of society and political interactions, or rules that allows individuals or organisations to exist. They shape the boundaries of the society, create and maintain patterns of incentives.

The significance of enabling environment capacity development is universally accepted and without a supportive policy and legal framework no individual or organisation will have the capacity to function effectively in achieving sustainable development (Franks, 1999). He argues that for example within the water sector, water is viewed as a vital basic need which flows naturally in abundance and it is therefore appropriate that all individuals should have unconstrained access. This held belief is historical tradition particularly of Islamic culture, however, in the late 20th century such belief has changed, some mechanisms for allocation and regulation are required to see how water is managed and paid for.

UNDP (2008, p. 6) postulate that they determine the rules of the game for interaction between and among organisation. “Capacities at all levels of the enabling environment includes policies, legislation, power relations and social norms, all of which govern the mandates, priorities, modes of operation and civic engagement across different parts of society.” Organisational capacity rest on enabling policy environment and on the legislative and financial framework within which it is located (Franks, 1999).

For example; European Centre for Development Policy Management (ECDPM) study of decentralised education in Ethiopia indicates that the balance sheet regarding donor engagement has positive (capacity enhancing) and negative (capacity draining) features. On the positive sided, USAID, has supported two systematic and long-term efforts that have begun to have positive effects on education service delivery. A WB led consortium of donors has helped to prepare a nationwide programme of demand-led capacity development, and Development for International Development (DfID) has sponsored a study of comparative approaches to local government capacity building in Ethiopia and elsewhere. Increasingly, donors are providing aid in the form of budget support, and encouraging evaluation through programme reviews and the production of “tools” to help implementation. On the other hand, despite the existence of formal coordination mechanisms (including one devoted to

education), and some budget support, donors have retained bilateral “projects” running parallel to the education sector development programme, and have retained control of significant funds for TC within the supposedly “pooled” funding arrangement for the new programme (Watson et al. 2005).

Lusthuas, et al. (1999) allege, in the past decade, academicians have applied ideas linked with institutions and institutional changed rigorously, and clear distinction has been made between institutions and organisations. Institutional capacity development is about change, enforce and learn from the processes and rules that govern society. Laws and regulations need to be changed to ensure equity, policies that support sustainable development and ways need to be developed to support the vulnerable in the society. Institutional capacity is often expert-driven and mostly does not link to other development approaches; however, it is better to deal with issues which underlie most development problems. These include; norms, culture values, incentives and beliefs.

### **2.9.3 Individual Capacity Development**

Individual capacity development is about people and their capabilities to move for change in their way of doing things. Capacity refers to the skills, experience and knowledge that are vested in people. Individuals are endowed with a combination of capacities that permit them to function. Some of these capabilities are acquired through formal training and education and others through learning by doing and experience (UNDP, 2008).

Training has been the normal through which individuals upgrade their skills, however, there is a debate whether universities and technical training prepare people well for the kinds of job they were required to undertake. Inappropriate professional training led organisation to compensate for it with in-house training programmes. In-service training programmes varied

significantly in effectiveness, induction training always prepares people for their responsibilities (Grindle and Hilderbrand, 1995).

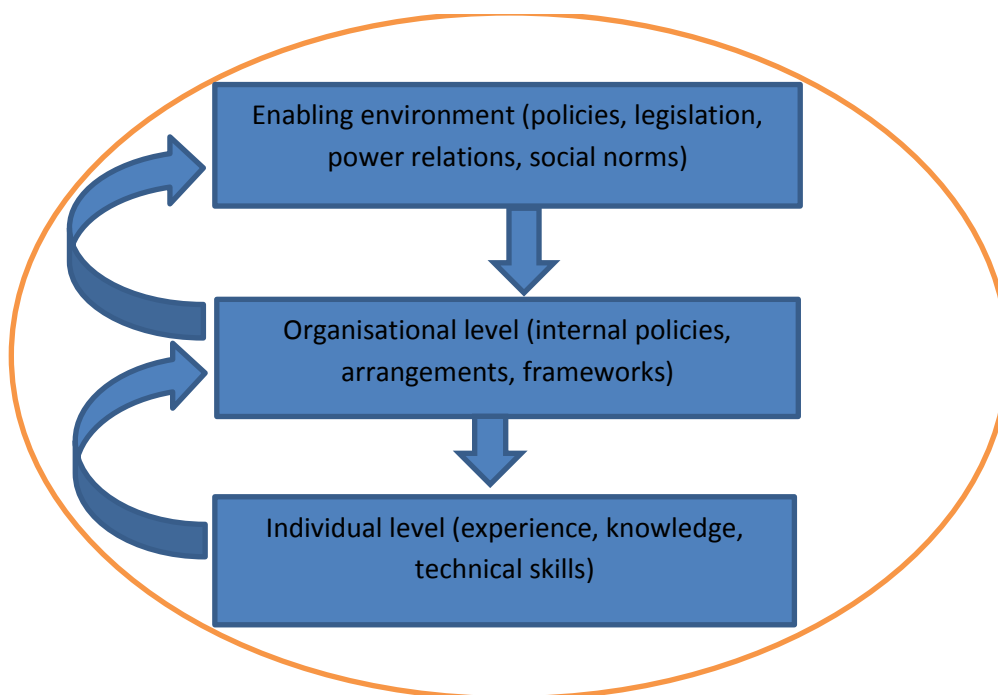
A range of actions aimed at increasing the capabilities of people in developing countries to achieve sustainable development is possible. Education and training play a vital role, and many new strategies and concepts are being adopted to increase the impact and effectiveness of training, however, the international communities are functioning out other approaches to the process of capacity development for effective and sustainable development (for example, UNDP, CIDA, DfID, ACBF, WB and OECD).

These organisations have different strategies and approaches to capacity development and these are embedded in their programmes. There is, for instance, an increasing emphasis on the importance of knowledge as the basis of improved capability. This emphasis has been acknowledged by many international conversions. Better capacity depends on critically on better knowledge, as well as on more appropriate skills and attitudes (Franks, 1999). For example, many capacity development initiatives include some attachment to water agencies and undertakings so that beneficiaries can have direct experience of good practice in different situations. Such approach has been adopted in overseas training programmes, and sometimes interesting outcomes both for the trainer and trainee (Franks, 1999).

Over the years UNDP has gained vast experience through its operations and support capacity development, and conducted rigorous research on and analysis of its theory, methodology and practice to identify what works and what does not work. UNDP is working hard to translate its findings into an evidence-based practice and concludes that what works is a ‘best fit’ rather a ‘best practice’ approach that does not apply a one-size-fit-all formula but based on action-oriented basic principles.

It can be observed that capacity development should be a holistic approach, involve all the three levels (individuals, organisations or institutions and enabling environment or institutions) and must address the constraints that prevent them from achieving their set objectives. It should be situation based because in Africa, there are different cultures across board and one-fit method would not achieve the needed results. For example, building the capacity of women to fish and the women live in a location where there is no sea or river (organisation or institution) to fish or if there are laws and norms (enabling environment or institutions) that do not allow women to go for fishing . This means that developing the capacity of women in that direction is a waste of time and resources but such might be perfect for different women in different locations where all these are favourable. To be able to overcome such scenario, what are the approaches that need to be adopted? Figure: 2.6 Shows

**Figure 2-6 Levels of capacity: a systemic approach**



Source: UNDP (2008, p. 6)

## **2.10 Approaches to Capacity Development**

Since the emergence of the concept in the early 1980s, there has been a broader arrangement of approaches and strategies to combine in a way that can respond to the escalating complexity of contemporary development (Morgan, 1998). These strategies must not be imposed on sceptical beneficiaries but must be locally owned to see effort as both desirable and feasible.

According to Cornforth and Mordaunt (2011) there are two different orientations towards capacity development in the literature: the ‘deficit’ and ‘empowerment’ models. The deficit model is similar to the TC model, where an expert comes into a country for a short period to provide expertise and technological advice and also identify capacity gap, whilst the empowerment model places much emphasis on empowerment of people to identify and address problems they face. These models have been applied in the field of development.

Cornforth and Mordaunt (2011) argue that these models are the best regarded as opposite ends of a spectrum, with many approaches to capacity development lying somewhere in between, and combining aspects of both. The differences between models are; the “deficit” model is considered as input-based and supply driven whilst ‘empowerment’ model is outcome-based and demand driven (See Figure 2.1).

“At a more descriptive level different approaches to capacity development by foundations can also be distinguished in terms of who the intended beneficiaries are and the type of support that is provided by the foundation” (Cornforth and Mordaunt, 2011, p. 432 cites Bolton and Abdy, 2007). Research by Lusthaus, et al. (1999) with CIDA and Universalis has offer taxonomy of four different perspectives or approaches to capacity development, they include;



- The organisational approach: it is about developing capacity at the level of individual organizations;
- The institutional approach: it is about the processes and rules that govern socio-economic and political organisation in the society at large;
- A system approach: it emphasizes the interdependencies among social actor and the need to promote capacity development in a holistic way; and
- A participatory process approach: which emphasizes ownership and participation as fundamental elements of capacity development.

They emphasised that these approaches are not definitive and other authors can move between them. There is no far-reaching uniformity within capacity development; individuals, organisations, institutions and context are not the same, therefore, donor agencies define themselves in terms of their position within the international community, their decision-makers, history and philosophy, and it is apparent that they define themselves. They conclude that different agency employs different approaches, for example, many donor and development NGOs place much emphasis on organisations in their approach to capacity development, international development banks also put emphasis on institutions as important target to capacity development; and the UN and other donors adopt national, sector or systems approaches to capacity development. The following paragraphs will explain the four approaches identified by Lusthaus, et al. (1999).

### **2.10.1 The Organisational Approach**

This approach is about improving on the efficiency of the organisation either as an entity or even set of organisations as the key to sustainable development. Organisational approach and organisational development are mostly the same, which focuses on the capacities of the

organisation within its entity that applies to government, Non-Governmental Organisations (NGOs), civil society and community organisations. Organisation is described as open or closed system approach, the closed system approach focuses on the internal workings of the organisation to improve capacity and the open system also focuses on an organisation's external environment (Koning, et al. 2006).

According to Lusthaus, et al. (1999) different authors uses different approaches, however, there is a common identity that runs through them, and for example, they all concentrate and identify the component of capacity within the organisation, this is called the closed approach whilst the open approach stresses the importance of an organisation's relationship to be influenced from its external environment: institutions, social values, and political and economic contexts.

Organisations help individuals and systems to put their capacity together in achieving organisational results with clear steps or stages of development marked by output and capacity for change. When capacity development is considered as organisational development, analysis and intervention function at a practical, micro-level and useful sets of assessment tools are generated and when capacity development encompass institution and systems, it become difficult to plan, monitor, and evaluate. Organisational approach as compared to other development approach has a well-defined organisational theory and change, and is focused on clear change (Lusthaus, et al. 1999).

### **2.10.2 Institutional Approach**

Institutional approach is related to but not synonymous with institutional development (Lusthaus, et al. 1999, p. 6 cites Scott, 1995). Institution is defined as the formal and informal “rules of the game”, institutional approach focuses on capacity to create, change, enforce and learns from the processes and rules that govern society. For sustainable development, laws

need to be changed to ensure equity amongst groups, policies and the oppressed in the society. Institutional approach is key to development because norms, beliefs, laws and others impede development.

Since the capacity development concept evolved, there is no distinction exactly where institutional change ends and capacity begins. Institutional change is expert-driven and does not include other development approaches, institutional approach is better able to deal with issues which underlie most development problems. These include norms, culture values, incentive system and beliefs (Lusthaus, et al. 1999).

### **2.10.3 System Approach**

System approach to capacity development is multi-dimensional including both organisational and institutional approaches take on a systems perspective (Lusthaus, et al. 1999, p. 7 cites Beer, 1986). The system approach refers to a global concept that is multi-level, holistic and interrelated which is linked to other development concept. This concept advocates on developing on existing capacities rather than to build new systems. This concept goes beyond the individual and organisational levels to systems of organisations, their interfaces, and the institutions that guide them but there should be a linkage between them.

In the development world, capacity is about a strategy that includes national, regional and municipal levels, local organisations and institutions, as well as people organised by the state, by private or public organisations, and in their civil roles (Lusthaus, et al. 1999, p. 7 cite Morgan, 1996; UNDP, 1999). Capacity development involves different actors like individuals, communities/group and organisations which build on their abilities to perform what they do, both by their own initiatives and through the support of outsiders.

According to Lusthaus, et al. (1999, p. 7) “capacity systems are seen as dynamic, interconnected patterns that develop over time along certain dimensions towards greater

complexity, co-ordination, flexibility, pluralism, interdependence and holism”. This strategy requires all important elements of institutional approach and most often institutional approach directs how these elements of the system interact. They further argued that, system approach to capacity development is sometime unclear whether capacity development is occurring in any aspect of the system or whether to start planning capacity development from the local, regional or national level. The challenge here is to identify what constitute capacity development activities.

The systems approach is comprehensive, flexible and emphasizes linkages between elements. It is a broader concept, useful in the development theory and can help changes at national and sectorial level, however, the system approach lack focus, and its vagueness makes it unwieldy and something unclear where one starts in a system change effort.

#### **2.10.4 Participatory Process Approach**

The above three approaches of capacity development are embedded in the ideologies about the process of development; the participatory process approach to capacity development emphasizes the importance of the means used to achieve sustainable development. This approach is people-centred and does not employ the top-down approach to development process, thus, capacity development should be participatory, empowering individuals that takes ownership of their development process not already functioned out capacity development programmes from foreign model.

The participatory process approach of capacity development is linked to formal UN documents and NGO literature, this approach is not a discrete but overlap between the other three approaches. There are no clear linkages between capacity development, empowerment and participation. There may be different definition for empowerment “a social process that promotes participation of people, organisation and communities towards the goals of

increased individual and community control, political efficacy, improved quality of community life and social justice” (Lusthaus, et al. 1999, p. 8 cites Wallerstein, 1992). This is basic ideology that is linked to sustainable development and capacity development, and this share basic assumption with general concepts of sustainable development.

This approach embraces change and learning as core values, and also clarifies its boundaries (entry and outcome). However, this approach is vague because in the general literature there is little consideration to the stages of development people go through as they learn how to be more participatory or empowered. Individual change is essential in development but it is also important to determine when the qualitative and quantitative changes in individuals add up to capacity development.

## **2.11 Other Approaches to Capacity Development**

Crisp et al. (2000) after reading through the literature has also identified four approaches and within each of these a range of strategies would appear to have potential for capacity development. They include; (i) top-down organisational approach, (ii) bottom-up organisational approach, (iii) partnership approach and (iv) community organising approach, each of these approaches is sometimes referred to as being capacity development, changes in one domain will often impact on another. As being argued above, capacity development involves the provision of resources to humans and organisations to produce future benefits in addition to immediate ones and also increase the self-sustaining ability of people to organise, analyse and solve their problems by more effectively controlling and using their own and external resources (Crisp, et al. 2000 cites deGraaf, 1986).

### **2.11.1 Bottom-up Organisational Approach**

The development of technical expertise is to help organisations plan, implement and evaluate their programmes, this is to reduce external consultant and increase local capacity for

continuous sustainability of programmes. This approach is premised on the assumption that training of members of organisation and equipping them with the requisite skills and knowledge will be more importantly help the organisation and the wider community (Crisp, et al. 2000).

For organisations to benefit from their investment, Crisp, et al. (2000) argues that most attention should be directed on how trainees are selected, trained and provided with opportunities to utilize their newly acquired skills and knowledge. They concluded that most members of organisations are rewarded with training programmes outside their organisations because of their long service or loyalty rather than their ability to use the fellowship to contribute to an organisation's development. Due to this development, there is an argument whether to bring external consultant to conduct training programmes. Capacity development is for organisations to become committed to continuous learning and improvement. Employees after acquiring new skills and knowledge are encouraged to become reflective practitioners as an individual and as group with the expectation that will lead more community benefits (Crisp, et al. 2000, p. 101 cites Hall and Best, 1997).

### **2.11.2 Top-down Organisational Approach**

“Building and sustaining capacity requires organisational capacity as well as the expertise of individuals” (Crisp, et al. 2000, p. 101 cites Grisso, et al. 1995; Rist, 1995). They argue that capacity development initiatives must be planned, analysed, facilitated and evaluated within organisations through decision-making processes which allow members to participate. Finances also contribute to capacity development and co-ordination and planning are necessary to ensure personnel, equipment and facilities can be mobilized when required.

Capacity development may also require that organisations restructure, for example, the Ghana Leprosy Service became a more responsive and effective health agency by developing

the planning and implementation of programmes from a single central agency to a regional or district level at which programmes could be developed taking into account the varying needs and health issues which are integrated into the primary health care at the district level (Crisp, et al. 2000 cites Bainson, 1994). Restructuring of organisations must involve the entire organisation from the national to the local level; sometimes it is the policies and practices than the structure that hampers organisational capacity.

### **2.11.3 Partnership**

Capacity development also involves the development of partnership between organisations or groups, crisp, et al. (2000) argue that this approach is premised on the assumption that providing possibilities for the two-way flow of knowledge can lead to partnership through which the resources required to plan and implement programmes may emerge. For example, developing a strong coalition bring about partnership.

Partnership can be formed between organisations irrespective of the size, power, mandate, interest and influence. There are different ways of partnership approach to capacity development, organisations may allow their boundaries to be permeable for different professional groups who have had little interaction, and such interaction can lead to individuals gaining familiarity with new approaches and concepts resulting in change in attitudes and practices (Crisp, et al. 2000 cites Kengeya-Kayondo, 1994; Stephenson and McCreery, 1994). This type of approach is similar to the five core capabilities identified by Baser and Morgan (2008).

### **2.11.4 Community Organising Approach**

It is argued that capacity development can be characterized as the approach to community development that raises people's knowledge, awareness and skill to use their own capacity and that from available support systems, to resolve the more underlying causes of mal-

development; capacity building helps them better understand the decision-making process; to communicate more effectively at different levels; and to take decisions, eventually instilling in them a sense of confidence to manage their own destinies (Crisp, et al. 2000, p. 103 cites Schuftan, 1996). This is the underlying ideology of the concept, where individuals or groups will have the capacity to plan, manage and implement their own development objectives for sustainable development.

The community organising approach is underpinned with the assumption that capacity development initiatives will be successful if local people initiate and run it, and most likely to be effective in community with existing resources. However, local people lack the initiative since such require expertise in planning and programme development. It will be unrealistic to assume that local people will initiate to form groups to acquire skills in leadership, decision-making and conflict resolution. Contrarily, local people's expectation may build up unrealistically (Crisp, et al. 2000).

From Crisp et al. (2000) perspective of capacity development, it could be concluded that it is about developing organisational systems and community elements for sustainable development. This is one aspect of UNDP's level of intervention and other authors like Cornforth and Mordaunt, (2011) and Lusthaus, et al. (1999) also identified. Crisp, et al. (2000) argue that in assessing the impact of capacity development programmes there are different approaches but irrespective of the approach, the ultimate objective which emerges when evaluating attempts at capacity development is whether sustainable change can be attributed to the intervention. Table 2.4 provides examples of measurement areas for each of the four approaches.



**Table 2-4 Capacity Development Approaches and Assessment Areas**

<b>Approach</b>	<b>Assessment Areas</b>
Top-down organisational	Policy development, Resource allocation (leverage), Organisational implementation and Sanctions/incentives for compliance
Bottom-up organisational	Workforce/professional development programme, Staff skills, understanding, participation and commitment, Ideas generated and implemented
Partnerships	Community activation, Collaborations and information sharing between organisation, Network density, Reorienting of service and programmes provided by individual organisations
Community organising	Involvement of key community leaders, Involvement of persons from disadvantage groups and Community ownership

Source: Crisp et al. (2000, p. 105)

O'Hare (2010) argues that capacity development takes different forms; development of skills, development of structures and provision of practical support. These forms have paved way for different authors, practitioners and organisations have adopted strategies and approaches to achieve their main objectives. More importantly, the approach or strategy adopted depends on the organisation's history, goals and objectives. Capacity development might achieve its intended results if participants plan, manage, analyse, facilitate and feel the programmes are their own, however, recognising that local people lack the capacity to initiate programmes that might benefit their own livelihood, so they must be involve in all stage of capacity development programmes.

## **2.12 The Role of the World Bank in the Concept's Diffusion**

More than twenty percent (20%) of the WB's lending and a majority of non-lending services focus on capacity development. The WB connects practitioners, networks, and institutions to help them find solution to their capacity development challenges (World Bank, 2016a). The UN agenda 21 established that the success of sustainable development largely depends on a country's capabilities to promote the development of 'personnel and institutional capacities. It also poses that there is a need to 'strengthen the national capacities' of all countries equally (United Nations, 1992, p. 37). The WB has a special branch called Capacity Development Resource Centre (CDRC) collaborate with partners to develop a range of customized programmes and knowledge products that responds to specific needs. The central aims to be a connector of knowledge, learning, and innovation in capacity development for the benefit of the development community and results-oriented practice (World Bank, 2016a).

Since the passing of UN agenda 21, there are no binding agreement and verifiable rules of forcing donor agencies for the application of the concept (Kuhl, 2009). Many capacity development literatures give credence to the WB Vice President for Africa Edward V. K. Jaycox. According Jaycox (1993, p. 4) the term capacity building, the precursor of the term capacity development, was invented for the study to describe a new mode of activities that would be different from those of the past. This new term was intended to introduce a very approach to development co-operation.

Jaycox (1993) claim that the paradigm shift at the WB was a research study carried out by Berg and commissioned UNDP. In that study, Berg claimed that the WB need is 'new thinking' about the technical co-operation in development aid programmes. Berg chronicled the problems in the management of technical co-operation, criticised the inefficiency of services deliveries, and lamented the problematic conditions for interventions in development

aid programmes. Berg suggested a radical change to delivery of technical co-operation and also recommended more capital investment in the third world as a necessity, and regarded more important to conduct capacity building that would lead to better personnel and stronger institution (Berg, 1993).

The intervention by Jay Cox and Berg were recognised by a harmonized programmatic change at either the WB and/or UNDP. Their interventions were accepted as a uniform change of direction. The WB and UNDP are the two most influential international organisations on the field championing the course of the concept. These organisations called for a change of paradigm, governmental and semi-governmental development assistance organisations thus felt called upon to follow this new direction. In a process of mimesis and imitation they did just that. This diffusion process was supported by three developments (Kuhl, 2009).

The WB and UNDP are at the forefront of the co-ordination of donor interventions in developing countries. The WB co-ordinates various development aid initiatives as was particularly strengthened in the 1980s by structural adjustment programmes designed to mitigate the effect of political recommendations initiated by IMF. Secondly, the WB takes up key themes of development co-operation. In the development world, the WB has already made use of ideas like green revolution, the basic needs strategies and market-based agriculture pricing. They propagate the concept capacity building/development and such a relation with local elites in the developing countries. Lastly, both the WB and UNDP have demonstrated the commitment of investing in capacity development initiatives; together with the African Development Bank (ADB) proposed a capacity development foundation with a starting amount of US\$30 million. Through co-operation with national donor organisations, a total of more than US\$ 100 million was to be made available for capacity development initiatives (Kuhl, 2009).

The CDRC exhibits the WB's cutting-edge experience in this area, highlighting country and sector-wide approaches and instruments focused on results. The CDRC documents working papers, literature, strategy, and diagnostic related to capacity development, and provide the global, regional, and country-based development institution, agencies and other capacity development knowledge sources (World Bank, 2016a). The WB uses these criteria to assess the relevance of Bank support include: (i) the alignment of the WB's sectoral and project goals with national priorities and strategic objectives, (ii) the quality of the diagnosis of commitment, needs, institutional capacity and arrangements, and (iii) the quality of the design of interventions (their clarity, feasibility and likely impact) (World Bank, 2005a, p. 12).

### **2.13 UNDP Capacity Development Process**

The UNDP has been at the forefront of building the capacities of developing countries and as they put it; capacity development is not a one-off intervention, but an iterative process of design-application-learning-adjustment. Irrespective of the processes, the term is applied to interventions that bring about organisations or communities ability to address issues by creating new structures, approaches and/or values (Crisp, et al. 2000). These processes are in a way similar to programming cycle; these make process rigorous and systematic without using blueprint, and improve the consistency, coherence and impact of UNDP's efforts.

It also helps promote a common frame of reference for a pragmatic response to capacity development (UNDP, 2008), these processes includes; (i) Engaging stakeholders, (ii) Assess capacity assets and needs, (iii) Formulate capacity development response, (iv) implement the response and (v) Assess capacity development impact. These processes have different time span, depending on a number of factors. These include the breadth and depth of the project, the complexity of the assessment, the ambit of the response, and the time lag between any

two steps of the process. UNDP supports these steps or in partnership with national and international development partners. The process is discussed below;

### **2.13.1 Engage Stakeholders on Capacity Development**

Effective capacity development intervention requires political commitment, the importance of key stakeholders cannot be under estimated and the embedding of capacity development in broader national development priorities are essential. It is imperative that all relevant actors are consulted and their support sought, this makes capacity development project more sustaining and internally driven. Participatory approach of the process enables both assessment and reflection. “It aims to integrate experience, action, and reflection to produce knowledge and action that is directly useful, and in the process, to effect consciousness raising (learning) that creates empowerment” (Raymond and Cleary, 2013, p. 2 cites Freire, 1970; Reason, 1994; Fals-Borda, 2001). This identifies problems, existing phenomenon and takes steps to remedy problems.

For the process to be successful, stakeholder’s consultation must be the first step and starts at the beginning of the process for a very definite reason, it inherent in very step. Selecting key partners to engage in the process, and a discussion on the development as political priority (UNDP, 2008). This approach allows beneficiaries feel ownership and also brings about gaining knowledge.

### **2.13.2 Assess Capacity Assets and Needs**

Capacity challenges are numerous and cannot be treated as ‘bolt and nut’ or there is a simple ‘tool kit’ to make it happen. What works well in one situation may not work in another, therefore, there is the need to interplay between the main actors (individual, organisation and institution) by planning in advance which steps will need to be taken or which dynamics will evolve. The planning should answer these three fundamental questions about capacity; why,

what and whom? These will serve as a catalyst for the actual capacity development initiative (UNDP, 2010).

Capacity exists at different levels and there are different requirements, capacity assessment will determine which to invest or prioritize. In such analysis attention should focus on identifying the strength and weakness, however, it is easier to build on the strength than transform the weakness. UNDP define capacity assessment as the analysis of the gap in capacity (thus the desired capacities against the existing capacities), offering a systematic way of gathering critical knowledge and information on capacity assets and needs. This is what Analoui (2007) describe as dynamic strategic gap analysis, these provide the foundation for formulating capacity development response that addresses those capacities that could be strengthened, or that optimizes existing capacities that are already strong and well placed (UNDP, 2008; 2010).

Capacity development begins with a shared and explicit awareness of the actors and strengths and weaknesses in all teams and organisation (UNDP, 2010). There is no unique starting point of capacity assessment during the planning or programming cycle and are conducted in response to a felt and expressed need for capacity development. UNDP has developed methodology that provides systematic and objectives approach to assessing capacity assets and needs, this can be adapted by all involved in the process. Capacity assessment serves a number of purposes including;

- Provide a starting point for formulating a capacity development response;
- Act as a catalyst
- Confirm priorities
- Build political support

- Offer a platform for dialogue, and
- Provide insight into operational hurdles in order to unblock a programme or project.

### **2.13.3 Formulate a Capacity Development Response**

Capacity assessment provides a starting point for formulating a capacity development response and this is an integrated set of deliberate and sequenced actions embedded in a programme or project to address the three questions; capacity for what, whom and why? The assessment covers several core issues and these issues are reinforcing, capacity development response will be more effective if it combines actions across core issues (UNDP, 2008). As argued above, capacity development response will be effective if it starts from the strength of the actors rather than capacity needs. It is therefore, imperative that intervention should be structured around the desired outcomes (short-to-medium-term initiative) and ideally the intervention should reflect in the national, local or organisational finances to ensure sustainability.

In project cycle indicators are needed to monitor progress of capacity development response, and each indicator needs a baseline and target. The baseline is used to measure progress, whilst target may be either short-term or long-term with intermediate outcomes. Indicators for the capacity development response measure output and outcome, and these are similar to those for monitoring. Monitoring of capacity development intervention allows for improvement and also influences the design of new initiative to address evolving needs. In all these costing it is very critical because it encourages stakeholders to realistically estimate the funding required for implementation (UNDP, 2008).

### **2.13.4 Implement a Capacity Development Response**

Implementation of capacity development response is same as implement in any other project, which runs as part of the overall implementation of a programme or project. Implementation

should be managed through national systems and processes, rather than parallel systems like project implementation units (UNDP, 2008). Implementation must balance the requirement of the actors based on ownership, motivation and professional pride with the specific inputs and outputs identified in the initial stage (UNDP, 2010). However, Burke (2007) argues that generally there is an agreement that most projects have four phases:

- Concept and initiative phase: This phase begins with project by establishing a need or opportunity for the product, facility or service. The feasibility of proceeding with the project is investigated, and on acceptance of the proposal.
- Design and development phase: This builds first phase to design the product, outline the build-method and develop detailed schedules and plans for making or implementing the product.
- Implementing or construction phase: This is based on the baseline of the project from the other phases, and
- Commissioning and handover phase: This confirms the completion of the project based on the design and terminates the project.

For example, monitoring of capacity development initiatives help to avoid separation of duties and also undermines local capacity, ownership and opportunities for learning, whilst empowering stakeholders to take responsibility of the initiative to bring about sustainability and these must involve local experts and consultants which strengthen national, regional or local education and training institute during implementation. Implementation pertain to managing change processes requires considerable skills and knowledge.



### **2.13.5 Evaluation/Assessing Capacity Development Impact**

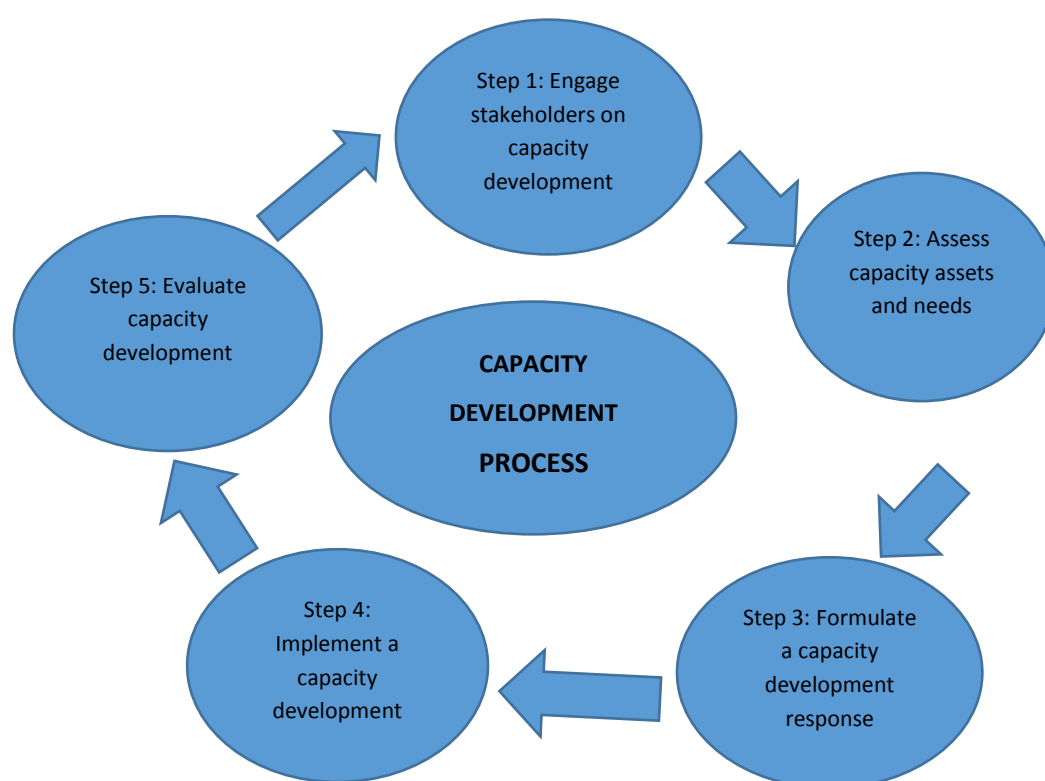
Monitoring and evaluation is an important activity thus it is argued that “capacity development is not a stable target: people and context change. The approach to monitoring and evaluation (M&E) for capacity development must be flexible enough to adapt to all changes inherent in capacity development, and must ensure that learning is captured” (UNDP, 2010, p. 16). UNDP differentiated between M&E, the former focuses on how inputs translates into output, the later focuses on how outputs contribute to the achievement of outcomes and its indirect impact.

Evaluation procedures must account for all processes as well as outcomes, must avoid burdening organisations with complex and time consuming demands. However, challenges to evaluate the link between capacity development and impact, since impact is brought about by a number of factors whose causality cannot be traced to one or two ingredients in linear fashion. Capacity development input cannot be singled out as the only sole factor that has contributed to capacity development impact; therefore, they must be treated as one component (UNDP, 2008). To mitigate such challenge, evaluation framework should be comprehensive to capture the key issues, but that continues to be manageable. The use of both qualitative and quantitative information, from subjective and objective sources can help to alleviate some of the challenges. UNDP argues that such cycle should not be followed comprehensively but organisation can adapt any stage to suite their programme or project in a particular environment.

Programme evaluation consists of the use of social research methods to ascertain the effectiveness of social intervention programme in ways that are adapted to their political and organisational environment and are designed to inform social action to improve people’s life. The social research methods and its methodological are aimed at constructing sound factual description of social phenomena. In recent times, techniques like observation, measurement,

sampling, research design, and data analysis produces valid, reliable, and precise characterisations of social behaviour (Rossi, et al. 2004). Evaluation is the last stage of UNDP's capacity development process, and a critical impact evaluation programme produces whether capacity development produces desired results over and above the stated objectives or with an alternative intervention. Figure 2.6 shows UNDP's capacity development process.

**Figure 2-7 the UNDP Capacity Development Process**



Source: UNDP (2008, p. 8)

The UNDP process of capacity development is to help institutions move from their current state to a higher state of capacity, which enables it to contribute to humanity in general. The framework shown in figure 2.7 measures the change between the existing state and a higher state (the outcomes expected and how to indicate for such) and exploring the programmatic responses for developing capacity (the levers of change, the outputs expected and again how to indicate for such) (UNDP, 2010, p. 3). Measuring of capacity development results require a systematic approach with a focus on tangible results, managing for development results

(MfDR) and its precursor result based management (RBM) are used by many international agencies and governments to simplify planning and ensure achievement of impact and outcome are obtained.

The UNDP uses the results-based approach for measuring capacity, and the measurement are at three levels.

- Impact: Change in people's well-being
- Outcome: Change in institutional performance, stability and adaptability, and
- Output: Product produced or service provided based on capacity development core issues (institutional arrangement, leadership, knowledge, and accountability). These levels are interrelated and inextricably linked to the next level.

According to the UNDP (2010, p. 6) a strong institution have a robust institutional arrangement; visionary, competent and ethical leaders; open and equal access to knowledge; and vibrant accountability and voice mechanisms. The coherent the reforms, policies, and investment decisions, the better the institutions, for example, the government that formulates a policy that clearly delineates national and sub-national roles and responsibilities is more likely to have high-performing sub-national governments.

- **Measuring impact:** Change in people's well-being. Measurement of capacity are generally well articulated and well executed. Indicators at this level is in quantitative and limited in number; data at this level is sometime be costly or difficult to access, however, there are strong support from donors for generating such data.
- **Measuring outcome:** Change in institution performance, stability and adaptability. The key indicator of development goal is a continuous improvement in performance,

stability and adaptability of national institutions responsible for development.

Improvement can be measured by an institution's ability to:

- a. Convert inputs to productive use (performance)
- b. Seek resolution to problems and remove barriers (stability)
- c. Adapt to changing realities and demand (adaptability)

Organisations or institutions that can formulate effective policies are efficient, sustainable, withstand shocks either internal or external, and can make the most significant contribution to human development. Changes at this level are reflected in outcomes in the enabling environment as well as the organisation/institution, and can be measured by outcome indicators.

- Measuring output: Products produced and services provided based on capacity development core issues. Organisations or institutions can work more effectively if they are allowed to do what they do better. The formulation, establishment and implementation of these assets are the essence of capacity development. Programmes that can address the enabling environment (policies, laws and regulations) as well as organisational (business processes, management systems) and individual (training) levels. Results at this level are captured in outputs and output indicators (see figure 2.6). UNDP sees the most change when there is focus and investment in the following areas:

- a. Institutional arrangement – institutional reform and incentive mechanisms
- b. Leadership – leadership development
- c. Knowledge – education, training and learning

- d. Accountability – accountability and voice mechanism (UNP, 2010, pp. 6 - 10).

## **2.14 The World Bank Institute Capacity Development Process**

The WB and other donor agencies spend more than \$30 billion per year on capacity development initiatives, however, there are lack of consensus among these regarding what activities should be assess during impact assessment. The traditional M&E has failed to capture the impact of capacity development activities, this has deprived the WB, development practitioners and other donor agencies the opportunity to learn which intervention are most effective in different situations (World Bank, 2012).

The bank has come under serious criticism for failing to have a well-structured body of knowledge on what tools should be applied and how in different context (Otoo et al. 2009). In response, the bank has develop a systematic approach and a set of tools for practitioners to design a rigorous yet flexible strategy or programme logic, to monitor and adequately manage their interventions and assess their results (World Bank 2011). The bank considers the following as key elements in capacity development process; development goal, institutional capacity areas (these serve as the change objectives), change agents, Intermediate Capacity Outcomes (ICOs) and capacity interventions.

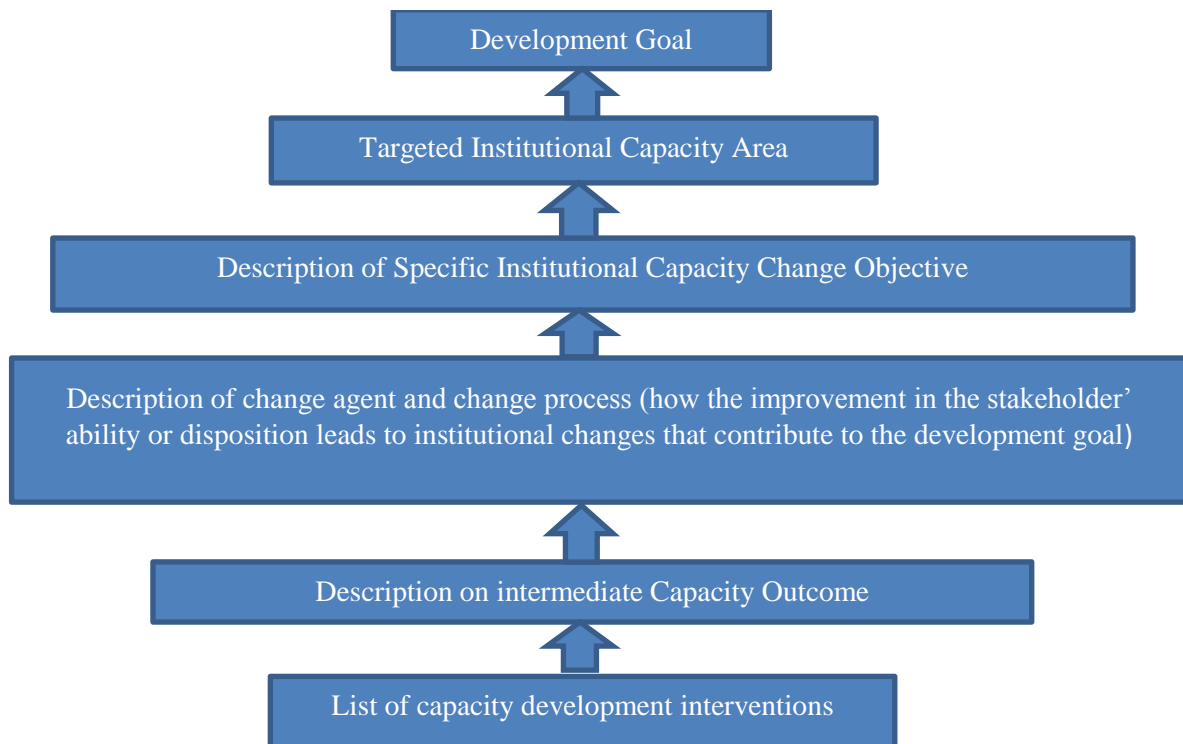
- **Development goal:** A beneficiary-centred statement of outcomes that articulates what benefits are targeted and for whom.
- **Institutional capacity areas:**
  1. Strength of stakeholder ownership
  2. Efficiency of policy instruments; there are deficiencies in the policy instruments guiding pursuit of the development objective by different stakeholders.

### 3. Effectiveness of organisational arrangements;

**Change agents:** The critical individuals or groups who could play effective roles in managing or initiating the needed changes.

- **Intermediate capacity outcomes (ICOs):** An improvement in the ability or disposition of the local change agents to take actions that will effect institutional change towards the development goal. These are six standard types of ICOs; raised awareness, enhanced knowledge or skill, improved consensus/teamwork, strengthened coalitions, enhanced networks and new implementation know-how.
- **Capacity development interventions:** The knowledge services provided to address priority reforms and achieve the targeted changes in the institutional constraints. Interventions typically include a combination of learning programmes, technical assistance, knowledge exchange experiences or other services and resources (World Bank, 2012, p. 15). Figure 2.8 shows the World Bank's capacity development process.

**Figure 2-8 Capacity Development Change Process**



Source: World Bank (2012, p. 26)

## **2.15 Capacity Development Initiatives in Development Practice**

As argued, capacity development emerged in the late 1980s and early 1990s due to lack of results produced by TC and many other initiatives by the international community. Capacity development is a factor in determining all development measures and thus an important component of a holistic approach. It is an endogenous change process that must be owned and initiated end beneficiaries, and donors only have a supportive role in this process ADA (2011). Capacity development is perceived for example, as a tool, a process, an objective, a general approach to development, as well as a framework for change and transformation.

Capable individuals, organisations and institutions are prerequisite for all sectors of human life and essential instrument of development cooperation that brings about development by the respective partners (donors and beneficial countries). Capacity is a process, thus long-term and complex changes in behaviour patterns, knowledge, motivation, skills and attitude.

It can be argued that capacity is dynamic process and instrumental in transforming all actors of development. Planning, management, implementation and accountability in policies and programmes for capacities are essential in order to achieve specific development goals and results (ADA, 2011).

For example, Hope (2009) argues that sustainable development in developing countries cannot be achieved in the absence of good governance, therefore, the need to build the capacity of all actors. Good governance ensures the effective use of scarce resources which bring about development; enhances participation, responsibility, and accountability; and can leverage people from their current situation to another. In effort to reduce poverty, good governance plays a pivotal role, thus the adoption of policies that will eliminate the capacity constraints that currently hinder sustained socio-economic development. Research by Hope (2009) concludes that institutions influences economic growth, and certain factors such as political repression, political instability, and policy uncertainty constraints to individuals, organisations and institutions in the achievement of sustainable development. He argues further that there is a positive link between good governance and sustainable development, therefore, the need to build the capacity of all actors involved in governance processes. When capacity for sustaining good governance is weak then that means capacity for development is also weak.

In the area of rural energy sustainability development, Mulugetta (2008) postulate that the ability of a society to officially organise development and social progress is not only premised on availability of natural resources (which are all passive agents) but also by the competences of its citizens, organisations and institutions to evaluate development options and implement action.



The capacity of society is multi-faceted which includes individual; skills, creativity, talent and ideas, organisations; public or private and institution; economic, social and political. Therefore, to have a sustainable rural energy requires management and technical infrastructure to upgrade and replenish its stock of skills and knowledge on a continuing basis. These require constant adjustment, modification, and elaboration of the institution to reflect the changes that will occur. Capacity development for sustainable rural energy development refers to the capacity to modify the indigenous technologies and adapt exogenous technologies into the wider energy system. Capacity development must be achieved with all actors (Mulugetta, 2008).

Franks (1999) argues that increasing the capacity of people working in the water, education and training plays a vital role. The increase in knowledge is the basis for improved capacity, importantly like appropriate skills and attitudes. He alleges that to have a sustainable water resources, there are many factors that needs to be linked; integrate knowledge of water quality processes with understanding of hydrology, to reflect on environmental concerns, and the need to combine the assessment of groundwater with surface water resources, instead of considering these separately, as has been common practice.

Capacity development interventions in the water sector allows professional to be working together as a team and also permit networking and twinning arrangement, as well as seminars which facilitate knowledge sharing. Enhancing capability hangs on education and training, and equipping professionals in the water sector with the ability to learn continuously. Professionals should be supported to work in a conducive environment, which brings about competent and committed people together (Franks, 1999).

In the United States, research by Murray and Dunn (1995) concludes that rural development in the United States relies heavily upon the consideration of leadership in small communities

to bring about local regeneration. This effort draws upon the theory and practice of capacity development processes. The Colorado Rural Revitalisation Project (CRRP) was established in the 1988 as a collaborative venture between two universities and a state agency. The project provided educational, consultative and technical assistance service, and learning was designed to help communities form volunteer leadership team, experience with ways to work together effectively for community betterment, assess community circumstances and aspiration, development locally supported goals and an action plan to guide local efforts and secure resources needed to implement the plan. Capacity development can be applied to all sectors to bring about change in attitude, values, skills and knowledge leading to sustainable development. Empowerment and ownership of the capacity development initiatives are critical.

## **2.16 Capacity Challenges**

Capacity development efforts are geared towards bringing about a change in behaviour, attitude and knowledge. Capacity development can be described as a means to an end, a process and a product. Capacity development is as a result of lack of capacity to plan, manage and implement development objectives on sustainable manner. According to Saasa (2008) the WB postulate that poverty reduction strategy process can be built on a platform of strong public capacity to formulate policies, build consensus, implement development programmes, to monitor and adapt new strategies for development. For these reasons, capacity development has pre-occupied African development agenda.

Research by Baser and Morgan, (2008) conclude that capacity development is the ability of an organisation to generate public value. The organisation should be occupied by capable individuals or group that have the desire to generate development results. The organisation must have collective embedded capacities it needs to create the development values outside

what the groups want. It must have the necessary functions needed to support structures needed to manage and sustain its capabilities. However, Saasa (2008) and Analoui (1998) argue that human resources in Africa are grossly under-utilised and unutilised.

The above problem in Africa, according to Saasa, (2008, pp. 2 - 3) is as a result of HRD are uncoordinated and fragmented approaches, lack of data on training needs, unstructured training programme, lack of organisational training policies, inadequate support for training by users, poor linkages between training output and the requirement, wastage and misplacement of personnel and lack of monitoring mechanisms to determine the capacity and productivity of the trained personnel to contribute meaningfully to national development. He argues that the WB through its capacity development initiative identified the main challenges in Africa and they include:

- **Capacity is central to development:** Capacity is the combination of human resources and institutions that permits countries to achieve their developmental goal. Developing countries rely on foreign expertise because of lack of human and institutional capacity; these permit individuals to achieve their set objectives on sustainable manner. Both developing countries and donors should place capacity at the centre of all development agenda.
- **Capacity is complex:** It involves economic, political and social factors, and applies to a multitude of interlinked sectors and areas. Hence the need to adopt a strategy that addresses all these problems simultaneously.
- **Africa countries differ in political, economic and social factors:** To the extent that problems of capacity development differ, solutions of a “one fits all” nature will be ineffective. This means that capacity development should not be one fit strategy for all countries.

- **Africa countries have lacked ownership of, and commitment to, capacity building:** Most African countries have realised capacity problems as critical, the need to move away from continued dependency on expatriate technical assistance. Africa countries should own and commit themselves to capacity building efforts, no amount of donor support or encouragement will reverse the situation.
- **Donors have tended in the past to exacerbate Africa's capacity problems by providing solution based on imported "supply-driven" models:** TC has weakened Africa capacity and they have dampened local ownership and commitment.

## **2.17 A Review of Evaluation Methods (Evaluation of Development Initiatives)**

This section provides an overview of approaches that has been employed in assessing development project impacts. Many of the literature on evaluations have been undertaken by many international development agencies to assess the impact on capacity development projects. The trajectory of evaluation can be traced following the relative inactivity in the 1950s; both international and national force stimulated the frontiers of evaluation theories and practice.

The main objectives were to strengthen U.S. defence system spawned by the Soviet Union's 1957 launching of Sputnik I. In 1960 the U.S government passed a law to serve all persons equitably; federal government evaluation requirements of the Great Society Programme initiated in 1965; the U.S. movement begun in the 1970s to hold educational and social organisations accountable for both prudent use of resources and achievement of objectives. In 1980s, the U.S. government advocated for excellence increasing U.S. international competitiveness and to employ evaluation to ensure quality, competitiveness and equity in service delivery. The U.S. has continuously pressed on schools and colleges, health-care

organisations, and various social welfare groups to use evaluation to determine their efficiency (Stufflebeam, 2001).

Historically, evaluation begun in the 17th century but its widespread systematic evaluation research is a relatively modern in 20th century development. The application of social research methods to programme evaluation coincides with the growth and refinement of research methods themselves as well as with ideological, political and demographic changes. In recent years, evaluation finding are used by policymakers, programme planners, and administrators. However, these findings may not make front-page headlines, but they are often matters of intense concern to informed citizens, programme sponsors, and decision makers, and those whose lives are affected directly or indirectly by the programmes at issue (Rossi, et al. 2004).

Impact assessment studies have become popular within the international communities and also have become significant activity for beneficiaries of donor Aids. Interestingly, the term impact assessment has been substituted for evaluation but it has also been associated with a greater focus on the outcome of projects, rather than inputs and outputs. Impact assessment studies commonly incorporate both “proving” impacts and “improving” interventions (Hulme, 2000).

Considering the above argument, development projects aim to make a difference in many under-privileged lives but unless such projects can be measured and proven, it will be seen as rhetoric. Capacity development is an integral part of development projects and the evaluation of capacity development initiatives and specifically the capture of changes in capacity are essential, to understand the success of capacity development process. It can be done through;

- (i) understanding the starting point of capacity development
- (ii) uncover where the hurdles to developing capacity are and design programmatic responses that will actually address those

hurdles to drive improvement, and (iii) most importantly, measure the change in an institution's capacity to fulfil its mandate and provide insight into where to make investment for continuing improvement (UNDP, 2010, p. 2).

Many researchers, practitioners, writers and organisations like UNDP, CIDA, Analoui and Danquah (2017), Gordon and Chadwick, (2007), Hailey and James, (2003) and Morgan, (1999), argue that capacity development has been prioritised at the core of many development strategies and there is a growing concern to determine their efficacy, as well as an appreciation of the need to assess their long-term impact. Hailey and James, (2003) concludes that the factors promoting impact assessment in capacity development are:

- Funding constraints, media exposure and development of a contract culture for aid funds
- The new public management strategies in 1980s and 1990. Performance measure and effectiveness criteria were applied to public sector service to determine sufficient quality and value for money.
- Justifying the investment, it is more important for assessing how much to invest in “human capital” relative to other investment, and
- Learning about effectiveness and sustainability of capacity development interventions, ensure degree of accountability and facilitate cross-organisational learning.

According to Lusthaus, et al. (1999) if capacity development is going to achieve its intended purpose, practitioners will need to adopt approaches to Planning, Monitoring and Evaluation (PME) that are in line with the concepts and ideas identifies as capacity development. A comprehensive evaluation includes monitoring, process, cost-benefit evaluation and impact

evaluation. Yet these are treated differently from each other (Baker, 2000). Theorists and practitioners recognised that impact evaluation help to improve programmes, joined with the desire to establish accountability and also determine the success and failure of a particular project.

To be able to assess the impact of capacity development, there are a number of approaches that needs to be carried out; (i) due to the diversity of the term capacity development both donors and beneficiaries should be able to specify the concrete improvements, this means that evaluation should be situation-based, (ii) if performance improvement cannot be measured directly, then it should be measured indirectly. A human judgement should then be made of what other improvement is best proxy, (iii) All parties must agree on the project objectives. Lack of common consensus on project objective spells problem for capacity development project but also raises an evaluation question, (iv) Capacity development impact is considered as a long-term approach therefore, capacity development impact evaluation should be carried out during and after the intervention to capture both dynamics, (v) measuring capacity development impact, one must consider the individual, system, and how they are related and reinforce each other and (vi) evaluators must realise the limit of evaluations (Koning, et al. 2006 cites Wing, 2004).

Capacity development initiatives can be well managed to produce positive outcome but with no permanent impact with regards to change in skills. On the other hand, capacity development initiatives can fail but have permanent positive impact; therefore capacity development impact evaluation should be broad to capture these spill-overs. Impact evaluations differ from other evaluation methods and are more centred on assessing causality (Baker, 2000). Thus, any analysis of the impact of capacity development initiatives requires an analysis of the enabling environment in which the individual function. It is easy to evaluate capacity development when it's part of a specific project or with specific aims,

however, much difficult to do in situations where the transmission mechanisms are indirect (Gordon and Chadwick, 2007).

To have a more robust impact evaluation and also addresses the above concerns, Baker (2000) and Gordon and Chadwick (2007) postulates that combination of appropriate methodologies are best approach, like both quantitative and qualitative. Both methods quantify project impact as well as an explanation of the processes and interventions that yielded these outcomes. Quantitative approach measure absolute values and also provide relative assessment of value. Qualitative approach substantiates the proposed linkages between capacity development provided and the intended outcomes. The researcher will adopt these methods to achieve the aims and objectives of the research.

Apart from the above methods, Koning, et al. (2006) argues that evaluating capacity development programmes should involve both ex-ante and ex-post. Ex-ante evaluation is about developing intervention logic and also answer questions like (i) What is the problem that needs solution; (ii) What extend are the shortcomings in governance responsible for these problems; (iii) How could capacity development improve the situation; and (iv) Which capacity development interventions are likely to be effective. Ex-ante is based on both theoretical reasoning and empirical evidence, whilst the ex-post evaluation determines the output of the interventions and the effect of its performance of the actors.

## **2.18 Concepts and Techniques for Impact Evaluation**

Considering the literature, Baker (2000) defines a comprehensive evaluation as an evaluation that includes monitoring, process evaluation, cost-benefit evaluation and impact evaluation. However, these are treated differently. Monitoring of interventions is the continual measurement of intended outcome of the programme, identifying specific problems as they arise. Process evaluation is concerned with how the programme operates and focuses on



problems in service delivery. Cost-benefit or cost-effectiveness evaluations assess programme cost in relation to alternative uses of the same resources and to benefit being produced by the programme. And impact evaluation is intended to determine the desirability of a programme on individual, household and institution and their effects were due to the programme. The aim of this research is to determine the impact of capacity development programmes in Ghana.

Rossi, et al. (2004) argues that there are two categories of approaches to assessing programme impact: Experimental and Quasi-Experimental research designs. Table 2.5 provides evaluation methods: links the basic evaluation methodologies with data requirements. Baker (2000, p. 8) argues that “these methodologies can integrate qualitative and participatory techniques in the design of the survey instrument, in the identification of indicators, and in input to the identification of controls, variables used for matching, or in instrumental variables”.

The experimental design is also known as randomization, however, Rossi, et al. (2004) often referred to as “golden standard” research design for assessing causal effects. In this method two groups are selected the control group which receives no intervention and the other group, called intervention group, where the intervention being tested. Outcomes are then observed for both the intervention and the control group, with any differences being attributed to the intervention. The main benefit of this technique according to Baker (2000) is that the programme impact can be measured by the difference between the means of the samples of the intervention group and the control group.

Baker (2000) further argues that, these techniques are considered the optimum approach to impact assessment of projects but in practice there are problems associated with and these includes;

- Randomization may be unethical because certain group in the population may be denied of vital services like medical treatment that can turn to be lifesaving
- It can be politically difficult to provide an intervention to one group and not another
- The scope of the programme may mean that there are no non-treatment group such as a project or policy change that is broad in scope
- Individuals in control groups may change certain identifying characteristics during the experiment that could invalidate or contaminate the results
- It may be difficult to ensure that assignment is truly random, and finally
- Experimental design can be expensive and time consuming in certain situations, specifically in the generation of new data.

All the other impact assessment design consists of non-randomised and also called quasi-experiments because they lack the random assignment to conditions that is essential for true experiment (Rossi, et al. 2004). There are different techniques which compare groups that resemble the treatment group through econometric methodologies which includes; matching methods, double different methods, instrument variables methods and reflexive comparison. The comparison between the treatment groups and the non-treatment groups are selected after the intervention by using non-random methods (Baker, 2000).

The main advantage of using quasi-experimental design according to Baker (2000, p. 4) is that they can draw on existing data sources and are thus often quicker and cheaper to implement, and they can be performed after a programme has been implemented, given sufficient existing data. However, Baker (2000) summaries the disadvantages as:

- The reliability of the results is often reduced as the methodology is less robust statistically
- The methods can be statistically complex, and
- There is a problem of selection bias

These methods (experimental and quasi-experimental design) are regarded as quantitative methods for evaluating programme impact. See table 2.6

**Table 2-5 Evaluation Methods and Corresponding Data Requirement**

Method	Data Requirement		Use of Qualitative Approach
	Minimal	Ideal	
Experimental or randomised control	Single project cross-section with and without beneficiaries	Baseline and follow-up surveys on both beneficiaries and non-beneficiaries. Allows for control of contemporaneous events, in addition to providing control for measuring impact. (This allows for a difference-in-difference estimation.)	Inform design of survey instruction, sampling  Identify indicators  Data collection and recording using; textual data, informal or semi-structured interviews, focus group or community meetings, direct observation, participatory methods, photographs, triangulation and data analysis
Non-experimental (a)constructed control or matching	Large survey, census, national budget, or LSMS type of survey that oversamples beneficiaries	Large survey, and smaller project-based household survey, both with two points in time control for contemporaneous events	
(b) Reflexive comparisons and double difference	Baseline and follow-up on beneficiaries	Time series or panel on beneficiaries and comparable non-beneficiaries	
(c) Statistical control or instrumental variable	Cross-section data representative of beneficiary population with corresponding instrumental variable	Cross-section and time series representative of both the beneficiary and non-beneficiary population with corresponding instrument variables	

Source: Baker (2000, pp. 28 - 29)

**Table 2-6 Summaries of Quantitative Methods for Evaluating Programme Impact**

	<b>Experimental or Randomized Control Design</b>	<b>Non-Experimental or Quasi-Experimental Designs</b>
<b>Randomization</b>	In the selection into the treatment and control groups is random within some well-defined set of people. In this case there should be no difference (in expectation) between the two groups beside the fact that the treatment group had access to the programme. (There can still be differences due to sampling error; the larger the size of the treatment and control sample the less the error.)	
<b>Matching Methods or Constructed controls</b>		In this method one tries to pick an ideal comparison that match the treatment group from a large survey. The most widely used type of matching propensity score matching, in which the comparison group is matched to the treatment group on the basis of a set of observed characteristics or by using the

		<p>“propensity score” (predicted probability of participation given observed characteristics); the closer the propensity score, the better the match. A good comparison group comes from the same economic environment and was administered the same questionnaire by similarly trained interviewers as treatment group.</p>
<b>Double Difference or Difference-in-differences methods</b>		<p>In which one compares a treatment and comparison group (first difference) before and after a programme (second difference). Comparators should be dropped when propensity scores are used and if they have scores outside the range observed for treatment group.</p>
<b>Instrumental Variables or Statistical control methods</b>		<p>In which ones uses one or more variables that matter to participation but not outcomes given</p>

		<p>participation. This identifies the exogenous variations in outcomes attributable to the group, recognising that its placement is not random but purposive. The “instrumental variable” are first used to predict programme participation; then one sees how the outcome indicator varies with the predicted values.</p>
<b>Reflexive Comparisons</b>		<p>In which a baseline survey of participants is done before the intervention and a follow-up survey is done after. The baseline provides the comparison group, and impact is measured by the change in outcome indicators before and after the intervention.</p>

Baker (2000, pp. 6 – 7)

Qualitative methods are employed for carrying out impact evaluation to determine impact by the reliance on something different from counterfactual to make a causal conclusion. This technique focuses on understanding processes, behaviours and conditions participants being studied. Qualitative data can be quantified and uses relatively open-ended methods during design, data generation and analysis (Baker, 2000). The main advantages are:

- They are flexible
- Can be specifically tailored to the needs of the evaluation using open-ended approaches
- Can be carried out quickly using rapid techniques, and
- Can greatly enhance the findings of stakeholders' perception, priorities, the conditions and processes that may have affected programme impact

And the disadvantages

- Subjectivity involved in data generation
- The lack of a comparison group
- The lack of statistical robustness given mainly small sample sizes, all of which make it difficult to generalize to a larger, representative population, and
- The validity and reliability of qualitative data are highly dependent on the methodological skill, sensitivity and the training of the researcher.

Reliable and adequate data is an important ingredient to evaluating project impact and high-quality data are essential to the validity of the evaluation results. Baker (2000) postulates that assessing data availability is a pre-requisite factor in launching any new data generation



effort, table 2.6 shows the links the basic evaluation methodologies with data requirements. As argued above, developing appropriate instrument for data generation to answer the evaluation questions are important, this can be achieved through three stages; analysts involved in the development of the questions, in the pilot and in the review of the data from the pilot test. The range of data generation instrument and their strengths and weaknesses are summarised in table 2.7 – questionnaires are mostly used.

**Table 2-7 Main Data Generation Instruments for Impact Evaluation**

<b>Techniques</b>	<b>Definition and uses</b>	<b>Strengths</b>	<b>Weaknesses</b>
Case studies	Collecting information that results in a story that can be descriptive or explanatory and answer the question of how and why	Can deal with a full variety of evidence from documents, observation  Can add explanatory power when focus is on institutions, processes, programmes, decisions and events	Good case studies are difficult to do  Require specialized research and writing skills to be rigorous  Findings not generalizable to population  Time consuming  Difficult to replicate
Interviews	The interviewer asks questions of one or more persons and records the respondents' answers. Interviews may be formal or informal, face-to-face or by telephone, or closed- or open-ended	People and institutions can explain their experiences in their own words and setting  Flexible to allow the interviewer to pursue unanticipated lines of inquiry and to probe into issues in depth  Particularly useful where language difficulties are anticipated  Greater likelihood of getting input from senior officials	Time consuming  Can be expensive  If not done properly, the interviewer can influence interviewee's response
Focus group	Holding focused discussions with members of target population who are familiar with pertinent issues before writing a set of structured questions.	Similar advantage to interviews (above)  Particularly useful where participant interaction is desired	Can be expensive and time consuming  Must be sensitive to mixing of hierarchical levels

	The purpose is to compare the beneficiaries' perspectives with abstract concepts in the evaluation's objectives.	A useful way of identifying hierarchical influence	Not generalizable
Observation	Observation and recording situation in a log or diary. This includes who is involved; what happens; when, where and how events occur. Observation can be direct (observer watches and records), or participatory (the observer becomes part of the setting for a period of time).	Provide descriptive information on context and observed changes	<p>Quality and usefulness of data highly dependent on the observer's observational and writing skills</p> <p>Finding can be open to interpretation</p> <p>Does not easily apply within a short time frame to process change</p>

Questionnaire	Developing a set of survey questions whose answers can be coded consistently	<p>Can reach a wide sample, simultaneously</p> <p>Allow respondents time to think before they answer</p> <p>Can be answered anonymously</p> <p>Impose uniformity by asking all respondents the same things</p> <p>Make data compilation and comparison easier</p>	<p>The quality of responses highly dependent on the clarity of questions</p> <p>Sometimes difficult to persuade people to complete and return questionnaire</p> <p>Can involve forcing institutional activities and people's experiences into pre-determined categories</p>
Written document analysis	Reviewing documents such as records, administrative database, training materials and correspondence	<p>Can identify issues to investigate further and provide evidence of action, change and impact to support respondents' perceptions</p> <p>Can be inexpensive</p>	Can be time consuming

Source: Baker (2000, pp. 32 - 33)

Both quantitative and qualitative methods are mostly used in evaluation assessment, quantitative represent samples that are better in assessing causality by using econometric methods whilst qualitative methods permit a deeper understanding of selected issues, cases, or events and can provide critical insight into participants' perspectives. However, there should be integration of these two methods in a single study. According to Baker (2000) qualitative methods are used to inform the key impact evaluation questions, survey the questionnaire or the stratification of the quantitative sample, and analyse the social, economic and political environment of the project, and quantitative methods can be used notify qualitative data generation, to design the sample to inform the extent to which the results observed in the qualitative work can be generalized to a larger population. Baker (2000) concludes that there are many advantages that have been discussed by Bamberger (2000) in using both methods in measuring the causal chain from a capacity development project to its outcome in society.

According to Gordon and Chadwick (2007) capacity development encompasses training and all other forms of learning that enhance the knowledge, understanding and competencies (skills) of individuals. It is often argued that capacity development is considered as a second order means to first order development objectives such as better education and improved peoples' health, therefore, education and training are a means to an end. However, from other perspectives capacity development can be seen as a development objective in and of itself that requires separate and explicit attention (Koning, et al. 2006). Human capital is an important component in development the cumulative impact of building-up the stock of knowledge cannot be underestimated. Considering the above discussion, the challenge is on researchers to develop guidelines for the integration of both qualitative and quantitative methods so that each approach draws on the strength of the other.

## **2.19 Summary of the Chapter**

This chapter presented a comprehensive account of the emergence of the concept capacity development in the development co-operation and developing countries. The development of HRM and its linkage to capacity development have been reviewed. The three schools of thought have been discussed: scientific or closed system, human relation or semi-open system, and open or contingency system. The capacity development can be categorised as; definition, objective, principles, implication for both donors and developing countries, and strategy.

Capacity development definition can be summarised as approaches, strategies and methodologies employed by both donors and developing countries to strengthen/improve individuals, organisations/institutions sectors/societies to achieve their development objectives on sustainable manner.

Broadly speaking, capacity development has three more objective; first enhance skills, knowledge, abilities and resources for effective utilization, second, bring together different capabilities for better understanding and strengthen relation, and lastly to bring about changes in issues like values, attitudes, motivation and conditions in order to achieve sustainable development. For the achievement of capacity development objectives, it should be based on principles for all players. Generally, the principles are; capacity development should be locally owned and participation must be broad-based; investment should be long-term but should have short, medium and long-term objectives; developing of local capacities; different activities are brought together to overcome complex situations, and learning and adaption of different strategies, approaches and methodologies.

There are different stakeholders in capacity development processes and these strategies draws on various methods and tools. However, capacity development process is like doing business

and has various players and interest. From the literature the major players are developed and developing countries. The implications for these players are diverse from these two perspectives. From the perspectives of developing countries, capacity development implications include; the process is based on consensus building, the use of developing countries resources, employs different strategies to support consultation and learning, coordinating of donor support, setting the process of programme identification, planning and implementation, and putting the right agenda in place for development.

The current debate for a shift in capacity development has positioned donor's agencies in a different role. Therefore, the implications for donor agencies includes; responsible for systems to provide continuous learning, supporting development countries agenda, supporting sustainable programmes, flexible approach, shared accountability, long-term obligation and impact assessment.

Considering the general literature, capacity development strategy defer from organisation to organisation, based on their corporate culture and many others, however, capacity development strategies includes all the five core capabilities which carried through training, education, learning and development to individuals, organisations/institutions, and sector/societies.

Finally, the concept of evaluation of capacity development programmes has been reviewed. Moreover, both qualitative and quantitative methods have been defended and the strengths and weakness have been discussed. It can be concluded that the best method for capacity development impact assessment depends on certain factors like the situation, availability of the data, type of projects, time constraints, country circumstances, and cost and evaluation questions. Evident available concludes that combining methods in a single study ensures robustness and also provide for contingencies in implementation. Ideally, combining

qualitative and quantitative methods is the best because it will provide the quantifiable impact of a project as well as an explanation of the processes and interventions that yielded these outcomes.



## **Chapter Three**

### **3.1 The Country Context**

### **3.2 Introduction**

This chapter discusses the background, historical and social-economic development about Ghana. The purpose of this chapter also aims to provide the academics and researchers with a vivid account about the current situation in Ghana. Considering the long standing development relationship between the WB and Ghana, the chapter will focus on the two projects the WB is financing. The background pertains to the geographical location and population, local government and democracy, the discovery of oil and gas in commercial quantities and economic situation. Additionally, this chapter discusses the Local Government Capacity Support Project (LGCSP) and Oil and Gas Capacity Building Project (OGCBP), and sectoral and institutional systems in Ghana.

### **3.3 The General Environment**

Ghana was called the Gold Coast and geographically located in West Africa, and share boundary with Cote d'Ivoire to the west, Togo to the east, Burkina Faso to the north and Atlantic Ocean to the south. Ghana was the first country in colonial Africa to gain its independence in 1957. A long series of coups resulted in the suspension of the constitution in 1981 and the banning of political parties. Multi-party democracy was restored in 1992 and a new constitution adopted. Six presidential elections have subsequently been carried out peacefully (World Bank, 2010).

The literature shows that Ghana is densely populated in West Africa. With a growth rate of 1.82%, according to Ghana Statistical Service (GSS) (2016) the country's current population is about 27,266,312 with 50.9% and 49.1% representing the female and male populace

respectively. The public sector management in Ghana has generally followed the British model, and the World Bank (2005a) the civil service employs about 1.7% of the total population and this is more than three times the average of low and middle-income countries in Africa. The central government bill is 5.3% of Gross Domestic Product (GDP), lower than the average of low and middle-income countries despite the size of the public sector.

Despite poor pay regime, the civil service has a reputation for honesty and the public service, a tradition for service. According to the World Bank (2005a) Ghana's overall performance falls within the second quintile of 77 countries in the WB's country policy and institutional assessment:

- |  |                 |
|--|-----------------|
| • Overall rating                           | Second quintile |
| • Economic Management                      | Third quintile  |
| • Structure Policies                       | Second quintile |
| • Policies for social inclusion and equity | Second quintile |
| • Public sector management and institution | First quintile  |
| • Governance                               | First quintile  |

**Figure 3-1 Political Map of Ghana Showing the Ten Regions**



Source: Ghanaweb.com (2016)

### **3.4 The Economy**

Ghana has demonstrated a strong leadership in conflict resolution and capacity to advance democracy in the sub-region. There are challenges, including weak institutions; corruption and over-centralized power. These challenge the country's ability to govern in a sustainable manner. The MFEP in 2014 budget statement and economic policy indicate that the IMF ranked Ghana as being among the three African countries globally with the highest foreign direct investment with a real GDP averaged at 7% in recent years (Ministry of Finance and Economic Planning, 2012).

Ghana has experienced two decades of strong and sustained economic growth. The average GDP growth rate from 2001 – 2008 was a robust 5.6% and has translated into substantial poverty reduction (the national poverty rate fell from 52% in 1992 to 29% in 2006). Ghana is expected to become one of the first Sub-Saharan Africa countries to achieve MDGs of halving poverty and hunger by 2015. With the discovery of oil in commercial quantities, prospects for sustained growth are positive. After the publication of the rebased national account in 2010 following a review of the underlying statistical methodology, Ghana's economy attained a middle income status with a per capita income of US\$1,100 in 2009 (World Bank, 2010).

The discovery since 2007 of major oil and gas deposits in waters off the coast at the western extremity of Ghana's maritime limits, and rapid development of those deposits, has the potential to bring significant economic development opportunities to the country. The development of oil and gas resources will have multiple benefits beyond the short-term improvement in fiscal balance. Onshore gas-based industries in particular, offer the potential to be the drivers of diversified economic growth poles. However, the challenge, as in so many resource-rich developing countries, is to manage the revenue and spin-off benefits from

production of the depleting resource wisely, so that sustainable economic development is achieved.

Since independence, the Government's economic priorities throughout the period have focused on four basic areas: (i) macroeconomic stability, (ii) growth and employment, (iii) poverty alleviation, and (iv) human resource development. According to the World Bank (2005) the strategies for realizing these goals have included: (i) reform of the public sector, especially better revenue generation and expenditure management and divestiture, (ii) accelerated private sector development, (iii) improved access to basic education and health service, (iv) decentralization in delivery of essential services, and (v) targeted poverty alleviation and social welfare programmes.

The country faces numerous potential pitfalls of poor governance and the risks of social discontent or environmental degradation resulting from poor sector oversight, unrealistic expectations and poor communications within and among stakeholders. To curtail these risks, GoG will need to rapidly increase the capacity of the institutions managing the sector and offer support to institutions which will train Ghanaians (World Bank, 2010).

### **3.5 Sectoral and Institutional Context**

Ghana is a constitutional democracy with two spheres of government: central and local. The local government is enshrined in the 1992 constitution, as is decentralisation, and the main relevant legislation is the local government Act 1993. The assemblies are grouped into three, which are the highest levels of local government: Metropolitan, Municipal and District. Globally, the decentralisation has become essential component of democratic governance in many parts of the world, especially, developing countries. According to Akudugu (2013) decentralisation has been actively promoted as part of neoliberal reforms that were introduced in the 1980s. This reform was to enhance efficiency and effectiveness of the local

government administration, and the provision of decision-making processes and responsibilities of involve local people is such processes.

With the passing of the local government Law (Act 462) of 1993, the government sought to implement comprehensive local government and decentralisation reforms. The local government Act 170, the general functions and responsibilities enshrined in Article 10 includes:

- Responsibility for overall development of the district and preparation of development plans and budgets;
- Revenue mobilization;
- Supporting productive activities, infrastructure development, management of human settlements and the environment; and
- Maintaining security and public safety.

According to the Ministry of Local Government and Rural Development, some successes have been achieved through the transfer of some authority and responsibilities, as per the above, from the centre to the local level. In particular, the creation of District Assembly Common Fund (DACF) allows the transfer of important resources to enable local authorities to realise some of these mandate. However, progress has been slow and hampered by contradictory regulations, lack of clarity regarding roles of the centre versus the local government, and capacity constraints (World Bank, 2011).

**Ghana is urbanizing rapidly.** 2010 was the year Ghana's urban population surpassed the rural population. The rate of urban growth is as high as 3.2%, cities and towns face vast challenges in managing urbanization and have so far been unable to meet the growing demands for infrastructure and services. This is evidenced by the increasing incidence of

urban poverty, the development of slums, and low levels of access to water, sanitation, and other services in urban areas.

According to the Project Documents; the intergovernmental fiscal framework is not yet responsive to the specific and significant needs of Ghana's cities. A strong basis exists for fiscal decentralization in Ghana through the DACF and District Development Facility (DDF)

The fiscal transfers typically adopt a uniform approach to local government that discounts the pressures faced by growing urban centres. Ghana's cities not only face large scale, lumpy investment needs associated with capital intensive basic infrastructure networks (such as sanitation, water supply, local roads and public transport), but must provide regional scale infrastructure that serve non-resident populations while coping with the pressures of rapid population growth. These needs are currently not being met through own revenues or the existing fiscal transfer system, which spread funding across the 170 MMDAs (World Bank 2011).

GoG has recently reinvigorated its planned decentralization of functions to local government. A new framework was finalized in 2010; this is to accelerate decentralization process by addressing the bottle-necks and gaps in an effective manner. The NDP 2010 – 2014 show case the priority areas, among the priorities activities include the initiation of constitutional and legislative reviews.

The revenue from property taxation and other user fees are inadequate, this was evident through the low proportion of financing generated from local sources (in 2009, local revenue amounted to an average of only 33% of total revenue in the 46 urban assemblies in Ghana). These are some of the major constraints to sustainable, sufficient urban infrastructure investment and the prospects for future borrowing. As far as power and resources are decentralized, ensuring that the local assemblies are accountable to the local people.

Accountability in general are weak in all the assemblies, and also the unpredictability of resources makes it difficult for local government to respond to the needs of citizens and undermines citizen's participation opportunities that exist in the planning and budgeting process. Financial accounting and reporting systems need to be strengthened, because the linkage between citizens and their assemblies are not effective (World Bank, 2011).

Decentralization must not only meet the objectives of strengthening an accountable system of local governance but to meet the growing challenges of urban growth. Important fact to address these is to re-orient and enhance the capacity of the government systems (nation and local government) to play a role in a decentralized framework for governance and service delivery. For national government, enhance the ability to set priorities, support and monitor their implementation, while at the local government level the capacity to design and manage local development interventions will be of key significance (World Bank, 2011).

### **3.5.1 The Discovery of Oil and Gas**

The growth of many African economies has been linked to the untapped mineral reserves and infrastructure development. These are important for economic development; the economy is diversifying with Africa emerging as a key oil-producing continent (Grail Research, 2015). The discovery of natural resources can boost a country's economic growth. The wealth generated from these resources, for example the one that can produce energy for our industries could bring huge foreign exchange in the country, only if managed well. Natural resources wealth thus forms a strong base for income creation and employment, which could lead to sustained economic development.

Since the discovery of oil and gas in a commercial quantity in the western part of the country, the rapid development of these resources has the potential of bring significant economic development opportunities for the country. However, the challenge, as in so many resource-



rich developing countries, is to manage the revenues and spin-off benefits from production of the depleting resource wisely, so that sustainable economic development is achieved. Ghana faces numerous potential pitfalls of poor governance and the risks of social discontent or environment degradation resulting from poor sector oversight, unrealistic expectations and poor communications within and among stakeholders. The GoG is doing everything possible to mitigate these risks, by increasing the capacity of the institutions operate in the oil and gas sector and offer support to institutions which will train the Ghanaian workforce to operate in the oil and gas sector. The Oil and Gas Capacity Building Project (OGCBP) has been prepared in response to these risks and the design reflects stakeholder input in determining ways that risks can be mitigated through project interventions (World Bank, 2010).

### **3.5.2 Oil and Gas Sector**

Ghana commenced commercial oil production in 2010, and the petroleum sector has undergone a major transformation. The Jubilee field is estimated to have possible recoverable reserves of 1.8 billion barrels of oil long with associated gas of about 1 trillion cubic feet. The first phase, which in 2010 is estimated to produce 120, 000 barrels per day of oil and the second phase has a potential of producing 240, 000 barrels per day within 5 – 7 years. It is also estimated that the production of associated gas from jubilee on a large scale - 120 Million Cubic Feet per Day (mmcf/d).

According to Ministry of Energy and Power (2010) the government is prepared to deploying an effective local content and local participation policy for achieving the goals for the oil and gas sector with full local participation in all aspect of the oil and gas value chain of at least 90% by 2020. It is evident; Ghana has no option to develop the local capacity to take up the oil and gas opportunities. The relevant agencies, MoEP, GNPC, EPA and MoFEP have few or no experienced staffs with petroleum background (World Bank, 2010).

The petroleum industry is made of two sectors, up-stream and downstream. The upstream sector in Ghana is managed and regulated by GNPC as a fully state-owned corporation established in 1980s with a mandate to undertake exploration, development, production and disposal of petroleum. The GNPC participation in the sector plays a very significant role in monitoring day-to-day operations and advising the MoEP on petroleum policies and issues. It also has the responsibility for developing gas infrastructure and finding markets for gas, either on its own or in association with other partners (World Bank, 2010).

The GoG wants the local people to take over the sector in terms of employment, but without additional training, Ghanaians workers are not equipped enough for employment in the petroleum industry. The gap exists at all levels of employment, from tradesmen to professional graduate staff. The government to bridge the gap has set up a number of training programmes across the country, if the local content policy is going to be implemented and the country will need to ensure that its workers are developing relevant skills that meet industry standards (World Bank, 2010).

### **3.6 World Bank Country Assistance Strategies and Capacity Building Programmes**

The WB has been playing a significant role in Ghana's development for the past five decades, Ghana has been the second largest recipient of IDA resources in Africa (after Ethiopia) with the second largest number of projects (after Uganda) (World Bank, 2005). Since Ghana joining the WB group in September 1957, the country has benefitted tremendously from the WB wide range of programmes, projects and investments. In funding, the IDA has supported up to close US\$10 billion consisting of about US\$8 billion towards grants and interest-free credit to the government. To date, the WB continuously support the country in diverse ways, for example, OGCBP, LGCSP GSWP, SLWM and GSEIP are all been sponsored by the WB (World Bank, 20014).

### **3.6.1 The World Bank's Strategy**

According to the World Bank (2005a) due to the change in economic landscape of Ghana, the Bank's CAS has changed considerably. Generally WB's focus has been on macroeconomic stability, growth, poverty alleviation and human development. From 2010, the CAS was aligned with GPRS II which had three broad objectives:

- Sustain economic growth of at least 6% per year
- Surpass the MDGs of halving poverty to 26%, and
- Start to reduce inequalities.

The CAS results matrix was organised under three pillars: (i) raise private sector competitiveness; (ii) improve human development outcomes; and (iii) strengthen governance. The CAS included the joint DPs assistance strategy (G-JAS) and the WB strategy component (World Bank, 2013).

Capacity building is the WB's explicit and implicit priorities for Ghana. It has been one of the core pillars of development in the 1995 CAS and reflects the analytical work by the WB, UNDP and the government beginning in 1993 on capacity building and utilization. The WB has identified the following as the capacity gap during national capacity building assessment in Ghana:

Inadequate human and institutional capacity

- Inefficient utilization of existing national capacity
- A top-heavy, over-extended and inefficient public sector
- The lack of clear policies and mandates to guide government institutions, and the lack of coordination among those institutions

- Weakness in policy analysis and research capacity, as well as translating policy into practice
- Under-performing civil service de-motivated by low pay, inadequate incentives, corruption, and lack of transparency in recruitment and promotion, and
- A lacklustre private sector, ill-equipped to be the driving source behind Ghana's future economic development.

According to the World Bank (2005a) the support for capacity building has evolved over the years. The 1995 CAS made capacity building an explicit objective of Ghana's development programmes. It was carried out through investment projects PSMRP for public sector reform NIRP directed at institutional and organisational changes in public sector, and through conventional projects in education, health and roads that would focus primarily on human resource development (both professional skills and management development skills in planning, budget and project execution).

In 1997, the CAS no longer made capacity building an explicit goal of the programme but recognised that the lack of a well performing public service threatened macroeconomic stability, and budget and tax rationalization was accelerated. The CAS focused more on non-lending services such as ESW. In 2000, the CAS acknowledged that the macroeconomic situation had worsened; terms of trade were against Ghana and debt burden were unsustainable. The CAS was on new projects for public financial management and an education adaptable programme loan. The slow pace of structural reform, such decentralization of public service, improved procurement and transparency were acknowledged by the Bank.

In 2004, the CAS turns its focus on public sector capacity building through governance for empowerment and service provision for human development. Significantly, the Bank support for capacity building were increasingly shifted from direct to indirect support, with a growing emphasis on the policy environment rather than on specific investment or direct funding of training and TA. The Bank employed different strategies in the effort to building capacity – lending, advisory and analytical work, technical assistance, institutional development grants, training by the WBI and support from the ACBF (World Bank, 2005a).

The Bank committed about US\$301 million of investment lending for four capacity building projects. The Bank recognize capacity building as an important component of Ghana’s development agenda, but the past decade there have been a few sector strategies in transport, health, education, and recently oil and gas, local government, public private partnership and Ghana accountability project. Table 3.1 shows the recent capacity building projects sponsored by the WB. The Bank considers CB as means to achieve other objectives rather than as a goal in itself, with corresponding analytical underpinning, programme design, monitoring and evaluation (World Bank, 2005). Table 3.2 shows official direct assistance to Ghana, long-term trends.

**Table 3-1 Capacity Building Projects Sponsored by the World Bank**

<b>Project</b>	<b>Amount US\$</b>
Oil and Gas Capacity Building Project (OGCBP)	38 Million
Local Government Capacity Support Project (LGCSP)	175 Million
Public Private Partnership (PPP)	30 Million
Ghana Accountability, Capacity Building and decentralization	58 Million

Source: Adapted from World Bank (2010)

**Table 3-2 Official Direct Assistance to Ghana: Long-Term Trends**

	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
Net ODA received (% of Central Government expenses)	..	64.5	55.6	58.6	68.1	47.2	39.0	26.5	22.3	33.8	26.1
Net ODA received (as % GDP)	12.0	12.1	11.1	12.9	16.0	10.7	6.1	4.7	4.6	6.1	5.3
Net IDA received (as % ODA)		24.7	13.7	25.0	20.8	27.8	21.6	20.9	21.1	15.7	18.8

Source: World Bank (2013, p. 44)

### **3.6.2 Oil and Gas Capacity Building Project**

After the discovery of oil in 2007, the government of Ghana realising the numerous potential pitfalls of poor governance and the risk of social discontent or environmental degradation result from poor sector oversight, unrealistic expectations and poor communication within among stakeholders. There was the need to mitigate these risks, GoG sought a loan from the WB to rapidly increase the capacity of the institutions managing the sector and also offer support to institutions which train Ghanaian workforce to operate in the sector. The OGCBP was prepared in response to these risks and the design reflects stakeholder input in determining ways that risks can be mitigated through project interventions (World Bank, 2010).

The Project Development Objectives (PDO) are;

- Improve public management and regulatory capacity while enhancing transparency
- Strengthen local technical skills in Ghana's emerging oil and gas sector.

**Project Beneficiaries:** The project cut across all sectors of the economy, its benefits numerous institutions that manage oil and gas sector, and identified institution which trains

workers to be employed in the sector or affiliated industries. The key indicators will be the numbers of staff of oversight agencies trained, and the number of students completing vocational and university-level training programmes.

**Project Description:** The project has two main components, each with multiple-sub-components.

**Component A: institutional development and sector management.** This focuses on improvement of management and regulation, and increased transparency. This component has five sub-components;

- Diverse support to the MoEP and the future regulatory body, including in media and communication. This supports the development of the technical capacity of MoEP for the management of the petroleum sector, including refurbishing of offices, provision of goods, works, training and technical advisory services. Training and knowledge transfer to build technical capacity to manage and regulate the sector. Primary activities including upgrading of offices environment, staff training, hiring of advisors and external expertise. These Bank interventions will be augmented by TA and training support to MoEP.
- Expansion and revamping of the GNPC data repository to safeguard the oil and gas data being generated through exploration and well development. The essential feature of this component is the installation of secure electronic data storage capacity for loading on data on petroleum exploration and production operations, and associated equipment in an appropriate GNPC facility to house the national data repository. Data storage in the petroleum sector is very important; Norway will provide parallel support for this component with TA and training of staff of the data centre.

- Support to the EPA, to enhance its ability to monitor environmental issues in the oil and gas sector. There are many activities to be financed, these include; provision of technical advisory services to EPA, strengthening the capacity for an EPA-led rapid response to oil and gas sector emergency, establish laboratory facilities, provision of training and other required technical support to EPA staff in international best practices in the petroleum sector. These Bank interventions will be augmented by TA and training support to EPA from Norway, estimated at a value of about US\$6 million.
- Support to the MoFEP, particularly the Ghana Revenue Authority (GRA) for revenue management. This component supports strengthening the capacity of MoFEP and GRA for revenue management, including inter alia, tax administration and fund management of oil revenue, through the acquisition of goods, provision of training and technical advisory services. This support is to be coordinated with TA and training available from Norway, Germany Technical Cooperation (GTZ) and IMF.
- Support Extractive Industries Transparency Initiative (EITI) secretariat, other public bodies dealing with sector governance such as Attorney General's (AG) Office and the Economic and Organised Crime Office (EOCO). This sub-component supports four sets of activities with a focus on increasing transparency and accountability in the oil and gas sector, including: (a) strengthening the capacity of public agencies involved in oil and gas sector governance, for communication, outreach and dissemination of information; (b) strengthening sector governance; (c) building the capacity of the secretariat supporting the EITI in the oil and gas sector; and (d) strengthening information and accountability mechanisms at the local level, and anti-corruption functions at the national level. Through the Governance Partnership



Facility (GPF) it will also support promotion of plural debate among a range of actors on issues in the sector (World Bank, 2010).

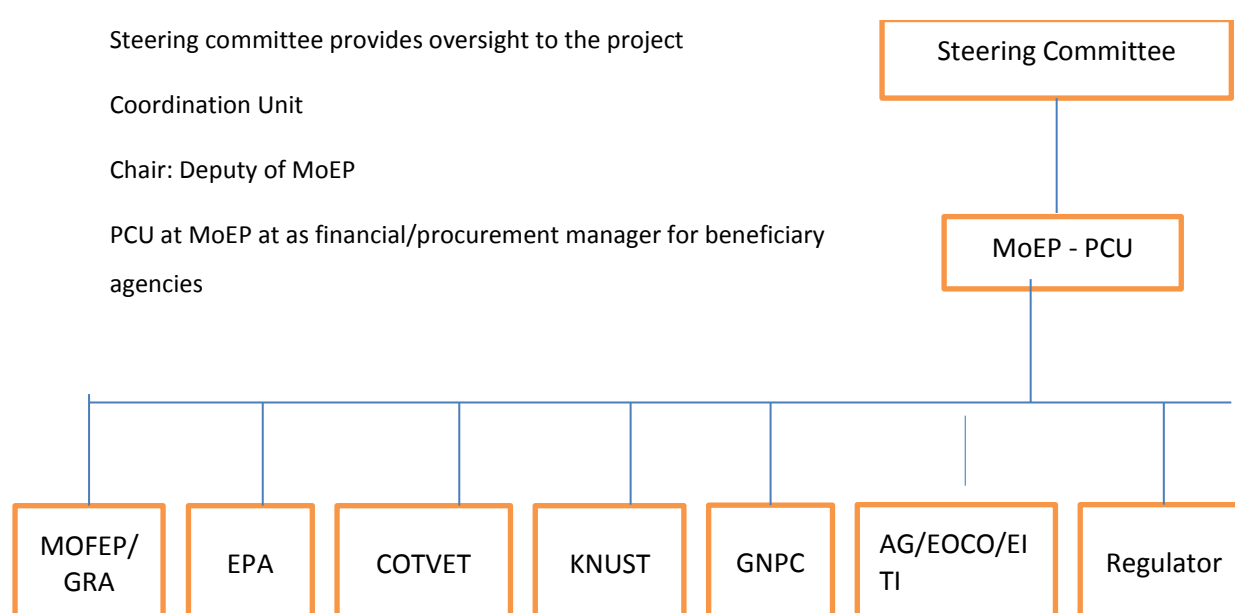
**Component B: Education and Skills Development.** GoG policy on local content sets ambitious targets for the involvement of Ghanaians in the sector. To achieve these objectives, workers will need to acquire new skills that meet the requirements of the sector and professionals will need to adapt their training to include issues related to oil and gas. This component has two sub-components; support vocational training and also support to tertiary education and research at Kwame Nkrumah University of Science and Technology (KNUST).

- Tertiary Education and Research Support. This support sub-component is designed to strengthen the capacity of KNUST to provide high-level degree in petroleum engineering and petrochemical engineering by: (a) improving and strengthening the faculty of the college of engineering; (b) enhancing learning experience for students by equipping engineering laboratories, acquisition of text books, journals and other teaching materials; (c) facilitating graduating students to extend studies in Masters of Science or Doctoral programmes; and (d) facilitating visiting faculty lectures, through the provision of technical advisory services, training, goods and works.
- Vocational training support. This sub-component is designed to strengthen the capacity of Ghanaian Training institutions including; Kikam Technical Institute, Takoradi Technical Institute and Regional Maritime University to enhance the skills of the local workforce to engage in oil and gas sector. It includes, inter alia: (a) provision of training to the staff of the above institution; (b) curriculum development and planning; and (c) upgrade of facilities in these training schools; through the provision of technical advisory services, training and works (World Bank, 2010).

**Component C:** Supports the Project Coordination Unit (PCU) in its role of coordinator and manager of the project. It will enhance the PCU's capacity for procurement and financial management of component A and B of the project, through the provision of technical advisory services, training, operating costs and acquisition of goods. The PCU serves as a focal point for capacity building assistance in the petroleum sector. Implementation of component A and B are managed and supervised by PCU under the MoEP, which is also responsible for all procurement, accounting and reporting of transactions relating to the IDA credit (World Bank, 2010).

**Institutional and Implementation Arrangement:** The PCU operates from the MoEP, reflecting the central role that energy plays in the development of all components of the project. The PCU acts as the central management unit and is responsible for procurement and financial management issues on behalf of the beneficiary institutions; the staffs of the PCU include: programme coordinator, project manager, procurement specialist, accountant, and administrative support.

**Figure 3-2 Project Implementation Arrangements**



Source: World Bank (2010, p. 8)

### **3.6.3 Local Government Capacity Support Project (LGCSP)**

According to the World Bank (2010) currently Ghana's development strategy is based on shared growth and development agenda with seven thematic pillars of which two are relevant: (i) infrastructure and human settlements development; and (ii) transparent and accountable governance. Ghana's development partners in 2007, including the WB formulated a G-JAS to support government's development agenda. The Bank support the government through CAS which provides an explicit commitment to make available analytical and financial resources to strengthen governance through "activities in decentralization, including urban policy, public sector reform, economic governance and promoting evidence – and results – based public policy choice." This project directly contributes to the achievement of the agenda.

The GoG has demonstrated a strong will of implementing the decentralization programme. The National Decentralization Policy and Action Plan have been accepted, and legal reforms introduced to develop personnel to MMDAs LI 1961. In 2011, the government's budget policy statement shows commitment in addressing issues of fiscal decentralization, evidently through the establishment of capacity in the MoFEP (World Bank, 2011).

#### **Project Development Objectives:**

- (i) To strengthen the inter-governmental fiscal framework
- (ii) To strengthen local public financial management and accountability for improved infrastructure and services in urban assemblies; and
- (iii) To improve citizens' engagement with urban assemblies and their perceptions of urban management.

**Project Description:** The project is packaged to provide integrated support to build the capacity of MMDAs, with specific focus on the urban assemblies or MMAs. A systematic and dynamic approach to capacity building is proposed, aimed at ensuring that an appropriate enabling policy, regulatory and fiscal environment at the national level supports efforts to strengthen local government capabilities. The project contributes to building the capacity of urban assemblies in relation to functions that they actually perform (“**learning by doing**”), and that they are held to account (by citizens and national government) and appropriately rewarded for the performance of these functions (World Bank, 2011).

The project builds on the incentive-driven approach to enhancing MMA performance that was initiated in 2008 through the DDF performance grant, and which is showing positive outcomes. The focus is on local government PFM system, as these are the critical foundation of accountable and effective local governance and service deliver. The specific reform areas considered critical are; (i) **budget reform**; (ii) **reporting and auditing system**; (iii) **revenue management**; (iv) **asset management**; and (v) **social accountability**.

The project complements and harmonizes with existing and planned support from other DPs to overall decentralization framework. Specific support to administrative decentralization is already being provided by other DP. The WB focuses on fiscal decentralization and financial management reforms. The project is designed in strategic partnership with other DPs engaged in decentralization to ensure a mutually reinforcing reform agenda in support of government’s decentralization policy. This approach allows harmonization to occur without the need for co-financing arrangement (World Bank, 2011).

**Project Components:** There are four components for this project; this current research focuses on component two, sub-component two.

**Component 2:** This component supports selected urban local governments to improve their management capabilities in the identified key reform areas through two sub-components: a performance-based Urban Development Grant (UDG), and capacity building and support activities. The UDG builds on the existing DDF, currently supported by four DPs and administered as a performance grant open to all 170 MMDAs, managed by MLGRD. The DDF has minimum access conditions which measure functional capacity in five core areas: (i) development planning, (ii) financial management and accounting, (iii) public procurement, (iv) implement capacity, and (v) the functioning of the general assembly.

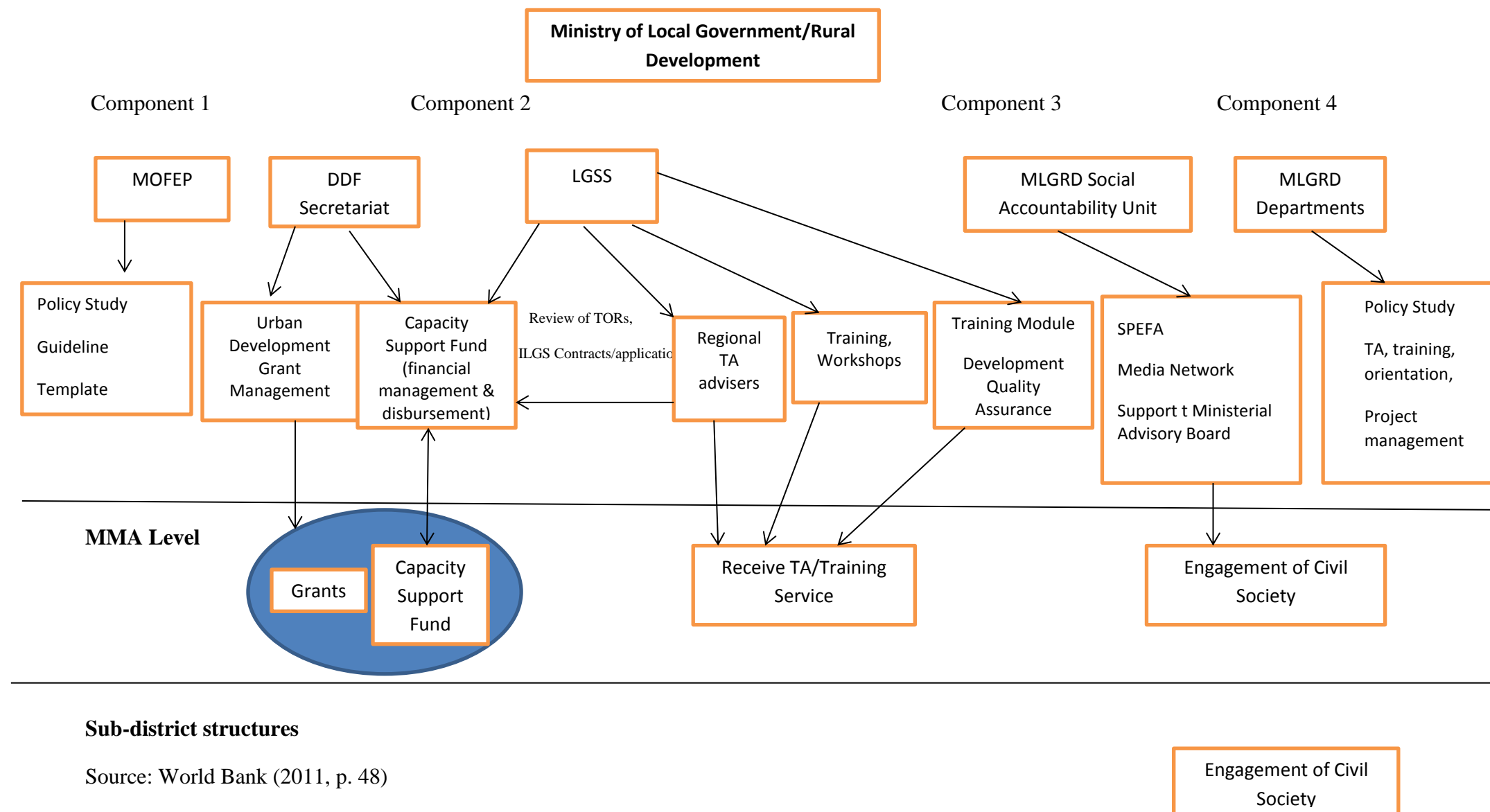
**Sub-Component 2: Targeted Capacity Support to Urban Assemblies:** This sub-component will support a programme of targeted capacity support to MMAs to assist them to enhance their performance in relation to the five key PFM reform areas. Support will be provided through: (i) training and technical assistance support that will be managed centrally; and (ii) a Capacity Support Fund (CSF) that will be made available directly to MMAs.

The centrally managed capacity support will finance: (a) workshops and peer learning event; (b) development and/or revision of national training modules in the five key reform areas, (c) training of core MMA staff and selected assembly committee members in the key PFM reform areas; and (d) regional teams of technical advisor who will provide hands-on support to staff of MMAs on a rotating basis. This training will be directly linked to gradual reforms undertaken under component 1. The centrally managed support will be undertaken by LGSS, which will contract out specific services as needed to private sector service providers, and will engage institutions such as the Institute of Local Government Studies (ILGS) in their mandated roles such as quality assurance, standardization of training, and evaluations. This support will be provided to all 46 MMAs (World Bank, 2011).

**Institutional and Implementation Arrangement:** MLGRD is the lead implementing agency for the project. The management of component in the project will be undertaken within the current line function responsibilities of responsible government departments and agencies, under the leadership of existing senior managers. The capacity building and technical assistance programmes under sub-component 2 will be managed by the LGSS. The administration of the CSF and project orientation activities will be managed by MLGRD. Figure 3.2 shows the institutional arrangement of the project.

The MLGRD is the lead implementing agency for the project. The Planning, Budgeting, Monitoring and Evaluation (PBME) directorate is the entity designed by MLGED to manage the project. The management of components in the project is undertaken within the current line function responsibilities of responsible government departments and agencies, under the leadership of existing senior managers in the civil service. The capacity building and technical assistance programme under component 2(b) is managed by the LGSS which is mandated to provide support to local governments and whose managerial and technical capacities will be strengthened. LGSS can contract Institute of Local Government Services (ILGS) and other private entities for other services (World Bank, 2011, p. 46).

**Figure 3-3 Ghana LGCSP Institutional Arrangement**



### **3.7 Summary of the Chapter**

The chapter provided an overview of the country Ghana, where the research (data collection) was undertaken. The projects were carried in Ghana to build the capacity of staffs working within the oil and gas sector, and also developing the capacity of local government staffs working in the various MMAs.

Ghana was called the Gold Coast and geographically located in West Africa, and share boundary with Cote d'Ivoire to the west, Togo to the east, Burkina Faso to the north and Atlantic Ocean to the south. Ghana has their independence in 6th March 1957, and in 1992 the country was restored to multi-party democracy and since then has had six successive elections. The country is densely populated with annual growth rate of 1.82% and estimated population of about 27, 266, 312 with 50.9% and 49.1% representing female and male population. The country's public sector management follows the British system with 1.7% of are employed into the civil services which is three times higher than the average of low and middle-income countries in Africa with low GDP rate of 5.3% as compared to low and middle-income countries.

Ghana democratic credentials are being considered as strong and has demonstrated a strong leadership in conflict resolution in the sub-region, however, there are challenges including weak institutions, corruption and over-centralized power challenge the country's ability to govern in a sustainable manner. Notwithstanding, Ghana is ranked among three Africa countries globally with the highest foreign direct investment with real GDP average of 7% in recent years. It is expected that the country to become one of the first Sub-Sahara Africa countries to achieve MDGs of halving poverty and hunger.

Ghana discovered oil in commercial quantities in 2007, the development of oil and gas resources will have multiple benefits beyond the short-term improvement in fiscal balance,



and this offers the potential to be the driver of diversified economic growth poles. However, bearing in mind many resource-rich developing countries is to manage the revenue and spin-off benefits from production of the depleting wisely, so that sustainable economic development is achieved.

After independence, successive governments have focused on macroeconomic stability, growth and employment, poverty alleviation and human resource development. The country faces numerous potential pitfalls of poor governance and the risks of social discontent or environmental degradation resulting from poor sector oversight, unrealistic expectations and poor communications within and among stakeholders. To curtail these risks, GoG will need to rapidly increase the capacity of the institutions managing the sector and offer support to institutions which will train Ghanaians.

The passage of the local government law (Act 462) of 1993, the government sought to implement comprehensive local government and decentralization reforms. These reforms were to enhance efficiency and effectiveness of the local government administration, and the provision of decision-making processes and responsibilities of involve local people in such processes. The assemblies are grouped into three: Metropolitan, Municipal and District and has the following function;

- Responsibility for overall development of the district and preparation of development plans and budgets;
- Supporting productive activities, infrastructure development, management of human settlement and the environment;
- Revenue mobilization, and
- Maintaining security and public safety.

Ghana is basically facing the challenge of urbanization, the urban's population surpassed the rural population. The rate of urban growth is as high as 3.2%. This has resulted in a situation where the demand for infrastructure and services are over stretched, increase in urban poverty, the development of slums, and low levels of access to water, sanitation, and other services in the urban centres.

Ghana's cities not only face large scale, lumpy investment needs associated with capital intensive basic infrastructure networks (such as sanitation, water supply, local roads and public transport), but must provide regional scale infrastructure that serve non-resident populations while coping with the pressures of rapid population growth. These needs are currently not being met through own revenues or the existing fiscal transfer system, which spread funding across the 170 MMDAs. Accountability in general are weak in all the assemblies, and also the unpredictability of resources makes it difficult for local government to respond to the needs of citizens and undermines participation opportunities that exist in the planning and budgeting process. Financial accounting and reporting systems need to be strengthened, because the linkage between citizens and their assemblies are not effective.

The discovery of oil and gas can boost Ghana's economic growth, however, the evidence in many resource-rich developing countries to manage the revenue and spin-off benefits from the production of the depleting resource wisely. Ghana faces numerous potential pitfalls of poor governance and the risks of social discontent or environment degradation resulting from poor sector oversight, unrealistic expectations and poor communications within and among stakeholders.

Ghana as a developing country depends mostly on the WB for financial and technical assistance. Ghana joined the WB group in September 1957, and for the past five decades the country has been the second largest recipient of IDA resources in Africa. To date, the WB

continuously supports the country in diverse ways, for example, OGCSP, LGCSP, SLWM and GSEIP are all been sponsored by the WB. The bank strategically focuses on macroeconomic stability, poverty alleviation and human development. The CAS was aligned with GPRS II which had three broad objectives:

- Sustain economic growth of at least 6% per year
- Surpass the MDGs of halving poverty to 26% and
- Start to reduce inequalities.

The CAS results matrix was organised under three pillars: (i) raise private sector competitiveness; (ii) improve human development outcomes; and (iii) strengthen governance. The CAS included the joint DPs assistance strategy G-JAS and the WB strategy component (World Bank, 2013).

Capacity building is the WB's explicit and implicit priority for Ghana. It has been one of the core pillars in the 1995 CAS and reflects the analytical work by the WB, UNDP and the government beginning in 1993 on capacity building and utilization. The WB has identified the following as the capacity gap during national capacity building assessment in Ghana:

The Bank committed about US\$301 million of investment lending for four capacity building projects. The Bank recognize capacity building as an important component of Ghana's development agenda, but the past decade there have been a few sector strategies in transport, health, education, and recently oil and gas, local government, public private partnership and Ghana accountability project.

## **Chapter Four**

### **4.1 Research Methodology**

### **4.2 Introduction**

The aim of social science is to build explanatory theory about people and their behaviour. This theory about man's behaviour is to be based on, and is to be tested, against real-world data. Data is relevant in social science (Punch, 2001, p. 9).

Many researchers view that data collection represents the most important point of any research project. Data comes in different forms such as documents, responses to questionnaires and interviews, and literature. Some data can be captured either in words or numbers, depending on these; during data analysis researchers have qualitative data for words and quantitative data analysis for numbers. Data analysis stage is fundamentally about data reduction – it is concerned with reducing the large corpus of information that the researcher has gathered so that researcher can make sense of it (Bryman, 2012, pp. 12 - 13).

This chapter is concerned with the research definition and purposes, research philosophy, gives brief description of the research methodology and methods, and discusses the strategy employed and ethical issues. The researcher will clarify the data collection methods used including questionnaires, interviews, secondary data and field observation. Finally, data analysis methods and statistical techniques employed will be discussed therein, and also the challenges encountered during the field work and doing the research.

### **4.3 Research Definitions and Purposes**

It is important to present some definitions for the term research; according to Gray (2009) is a systematic and organized process to investigate a specific problem that needs a solution. This definition can be broken into two aspects, the **how** (systematic and organized process to

investigate) and the **what** (a specific problem that needs a solution). These processes must be structured and purposeful, rigorous, robust and defensible, and systematic to discover of hidden truth or finding solution/s to a problem/s (Mathew and Ross, 2010).

The Oxford Advanced Learner's Dictionary of English (2010, pp. 1299) also defines research as "a careful study or investigation, especially in order to discover new facts or information". Both Gray (2009) and the Oxford Advanced Learners' Dictionary of English (2010) supports what has been clarified by Rajasekar, et al. (2013) as an investigation of finding solutions to scientific and social problems through objective and systematic analysis. Different research has different aims or objective, however, generally the prime objectives of research can be summarised as;

- To discover new facts
- To verify and test important facts
- To analysis an event or process or phenomenon to identify the cause and effect relationship
- To develop new scientific tools, concepts and theories to solve and understand scientific/non-scientific problems
- To find solutions to scientific, non-scientific and social problems and
- To overcome or solve the problem occurring in our everyday life (Rajasekar, et al. 2013, p. 3). Fundamentally one particular research can combine one or two of these objectives. This research is about exploring, assessing, examining, understanding and identifying capacity development in the field of development.

#### **4.4 Research Philosophy**

The worldview of a researcher generally is about the world and the nature of research that the researcher holds. The type of beliefs held by a particular researcher is dictated by factors such as discipline orientation, mentors inclinations, and past research experiences. There are two main research philosophies being discussed in the literature: Ontology and Epistemology. Ontology is “the way the social world and the social phenomena or entities that make it up are viewed” whilst epistemology is “the theory of knowledge and how we know things” (Mathews and Ross, 2010, p. 23). The researcher’s view vis-à-vis what institutes acceptable knowledge and examines the nature of the established premises and how they work. Ontology embodies understanding what is, epistemology tries to understand what it means to know.

There are three aspects of epistemology – objectivism, constructivism and subjectivism - that have been mostly discussed among social science researchers (Gray, 2009). Objectivism asserts that the social phenomena that make up our social world have an existence of their own, apart from and independent of the social actors (humans) who are involved (Mathews and Ross, 2010, p. 24). Bryman (2012) argues that social phenomena and categories are not only produced through social interaction but they are in a constant state of revision. Subjectivism asserts that meaning does not emerge from the interplay between the subject and the outside world, but it is imposed on the object by the subject (Gray, 2009, p. 18).

Mathews and Ross (2010) distinguish between various social science paradigms which are employed in the international community and social science research – positivism, realism and interpretivism. The positivist approach has a number of distinct features; knowledge is defined as that which can be observed by the senses, knowledge of the social phenomenon is based on what can be observed and recorded rather than subjective understandings, the researcher is independent of and has no impact on the data and usually data are gathered to

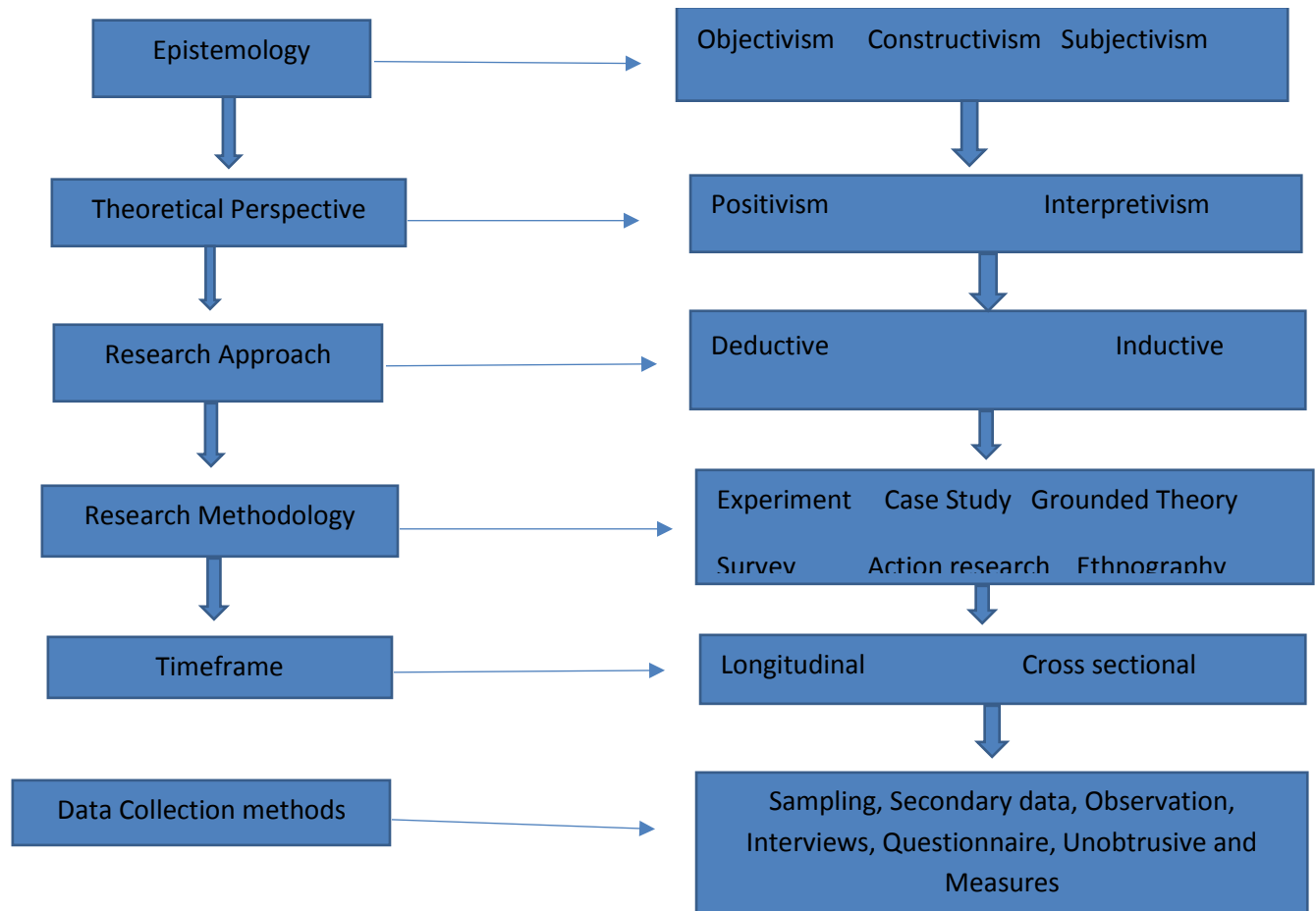
test a hypothesis. According to Bryman (2008) interpretivism tends to provide critical view on how human attempts to interpret the world. They share a view that the subject matter of the social science is fundamentally different from that of natural sciences, and also the study of the social world requires a different logic of research procedure, one that reflects the distinctiveness of humans as against the natural order.

The contrasting view of the interpretive research paradigm and the need to develop more critical research contributed to the emergency of realist and critical realist paradigm. In general, the realist assumes that there is an external reality 'out there' that can be measured but achieving this can be difficult, critical realist paradigm asserts that to recognize the reality of the natural order and the events and discourses of the social world, and holds that we will only be able to understand – and so change – the social world if we identify the structures at work that generate those events and discourses (Bryman, 2012, p. 29). The critical realist paradigm recognizes that there is a vast difference between the objects of research and the terms use to describe, account and understand them. However, the critical realist paradigm also recognises that there are mechanisms that cause a change but they are not directly observable, and in certain context these mechanisms interact to produce an observable regularity in the social world.

As argued above, the nature of research should be structured and purposeful, rigorous, robust and defensible, and systematic no matter the research technique, method or strategy. The researcher combines both critical realism and pragmatism philosophy for this research; this will enable the researcher to best answer the research questions. The main aim of this research is; assessment of the impact of capacity development initiatives sponsored by the WB. This will provide practical knowledge that is useful to development practitioners, policy makers, researchers, consultants, students and many others. The relationship between

epistemology, theoretical perspectives, methodology and research methods and the elements of research process has been summarised in Figure 4.1.

**Figure 4-1 The Relationship between Epistemology, Theoretical perspectives, Methodology and Research Methods, and the Elements of Research Process.**



Source: Adapted from Gray (2009); Saunders, et al. (2003).

#### 4.5 Research Methodology and Design

For the purpose of this research, it will be prudent to define research methodology. According to Williams (2007) is a systematic process of defining the objectives, managing the data, and communicating the findings occur within established framework and in accordance with existing guidelines. It encompasses research methods that researchers intend to use to collect data, the concept and theories underlying the various methods. The researcher will adopt procedures to describe, examine, assess, explain and predict the impact of capacity



development initiatives sponsored by the World Bank in Ghana. This research has a combination of descriptive, correlation, exploratory and explanatory objectives. It is appropriate to differentiate between research methods and research methodology; Rajasekar et al. (2013) assert that research methods are the various procedures, schemes and algorithms for conducting research whilst research methodology is a way to systematically solve the research problem. Research methodology is concerned with the entire process of the research.

The reason for defining research methodology is to create the awareness the methods adopted for this research. Capacity development has been an essential instrument of development cooperation that contributes to achieving other development goals but capacity development has had its own challenges, according to ADA (2011) donor agencies have applied very different approaches with conventional instruments and methods (technical assistance, training, scholarships and research) still predominating. It is also problematic that approaches and measures for capacity development from donors are frequently fragmented. In the light of these, it is recognised that monitoring and evaluation (M&E) has failed to fully recognise the combination of ‘hard’ and ‘soft’ characteristics that make up effective capacity. And while ‘balanced’ approaches that address both the hard and soft sides of performance have been developed in business, such approaches are as yet underused and undervalued among the development community (Engel, et al. 2007, p. 5).

#### **4.5.1 Research Methods**

Research methods are grouped in two: basic and applied methods. A research that encompasses these two methods are said to be comprehensive.

**Basic Research:** Concern expansion of knowledge of processes, formulation of theory and generalizations. Gathering knowledge for knowledge’s sake is called fundamental or pure. An exploratory approach is the commonest of basic research. Research such as pure

mathematics or natural phenomenon and human behaviour are examples of basic research (Gray, 2009; Saunder et al. 2003).

**Applied Research:** This type of research results in finding solution to specific practical problem. It helps researchers achieve a specific task and descriptive approach is mostly adopted in applied research.

#### **4.5.2 Research Techniques**

The three common techniques in conducting research: quantitative, qualitative and mixed or triangulation methods (Bryman, 2008; Creswell, 2014; Williams, 2007).

**Quantitative Technique:** Historically, the quantitative techniques dominating research in the social science from the late 19th century up until the mid-20th century. During the latter half of the 20th century, interest in qualitative research increased and along with it, the development of mixed methods research (Creswell, 2014, p. 4). Contrary, Williams (2007) quantitative research emerged around 1250 A.D. and with the interest of quantifying data.

Quantitative research is based on the measurement of quantity and subjected to statistical treatment in order to support or refute “alternative knowledge claim”. They emerged in the physical sciences particularly in the chemistry and physics, mainly exploring issues that could be measured and observed (Creswell, 2014). Mathematical model are used as methodology of data analysis, the researcher uses inquiry methods and there are three historical trends regarding quantitative research include, research design, test and measurement procedure, and statistical analysis (Williams, 2007). Quantitative research focuses on deduction, confirmation, theory/hypothesis testing, explanation, predicting, standardized data collection, and statistical analysis (Johnson and Onwuebuzie, 2004). It can be used for testing and validating how existing theories occur (Mathews and Ross, 2010),

because it aims to measure reality and also creates meaning through objectivity uncovered in the data (Williams, 2007).

**Qualitative Technique:** In the social science, where human behaviour are covered researchers categories used in research must reflect the local constituencies and theories that are used may not reflect local constituencies understandings, qualitative research are responsive to local situations, conditions, and stakeholders' needs. As a subjective way to look at life as it is focused on induction, discovery, exploration and theory/hypothesis, generation; the researcher as primary "instrument" of data collection, and qualitative analysis (Johnson and Onwuegbuzie, 2004, p. 18). It gives stories and account including subjective understanding, feelings, opinions and beliefs (Mathews and Ross, 2010).

There are several different methods for conducting a qualitative research, they include case studies, grounded theory, ethnography, content analysis and phenomenological (Williams, 2007), these methods serve different purposes, for example, case studies and grounded theory are for exploration processes, phenomenology and case studies can be used to study individuals, and ethnographic research analysis different culture settings of individuals or groups (Creswell, 2009). However, results from qualitative research are easily influenced by the researcher's personal biases and idiosyncrasies, also difficult to test hypotheses and theories (Johnson and Onwuegbuzie, 2004).

**Triangulation Technique (Mixed Research Method):** Since both methods have their strengths and weakness, the debate has now be focused on mixed methods research (Bryman, 2008), researchers incorporate methods of collecting or analysing data from both qualitative and quantitative research approach in a single research (Creswell, 2009; Johnson and Onwuegbuzie, 2004). Researchers may adopt this technique to research to draw from the strength and minimize the weakness of the quantitative and qualitative research approach

(Williams, 2007). The combination of techniques is termed as triangulation, which allows researchers to gain insights and results to assist in making inferences and in drawing conclusions. Creswell (2014) identified three basic mixed methods techniques:

**Convergent parallel mixed methods:** In this type, the researcher collects both quantitative and qualitative data, analyses them separately, and then compare the results to see if the findings confirm or disconfirm each other. Qualitative data can assume any other forms, such as interviews, observation, documents, and records. However, qualitative data collection is always smaller than that for the quantitative data collection. The two databases are analysed separately and then brought together. There are different ways to merge the data; one is the side-by-side comparison.

**Explanatory sequential mixed methods:** It involves a two-phase project in which the researcher collects quantitative data in the first phase, analyses the results, and then uses the results to plan the second phase, qualitative phase. Data collection proceeds in two distinct phases with rigorous quantitative sampling in the first phase and with purposeful sampling in the second, qualitative phase. During the interpretation phase, the quantitative and qualitative databases are analysed separately in this technique. The technique quantitative first then the qualitative one.

**Exploratory sequential mixed methods:** This is the opposite of explanatory sequential mixed methods and start with qualitative phase first followed by a quantitative phase. The researcher first begins by exploring with qualitative data and analysis and then uses the findings in a second quantitative phase. In this technique, data collection would occur in two phases with the initial qualitative data collection followed by the second quantitative data collection. The researcher analyses the two data separately and uses the finding from the initial exploratory data to build into quantitative measures.

According to Creswell (2014) three advanced mixed methods (embedded, transformative and multiple mixed methods) incorporate the elements of the convergent, explanatory sequential, and exploratory sequential approaches. Once one has the foundation of the three basic approaches, they can be included into more advanced strategies or synthesis of strategies specifically suited to the current PhD research project. For this project, the researcher adapted both convergent parallel and multiphase mixed methods. This strategy really needs to be extended however, so that quantitative and qualitative data collected over a period of approximately one year. The strategy that is most relevant has perhaps more in common with the convergent parallel strategies since both qualitative and quantitative did not follow a particular trend. For example, there may be several phases of either qualitative or quantitative method precedes the other. The flexible and adaptable nature of this strategy made it an obvious choice for this PhD research.

#### **4.6 Research Methods in Development**

Research methods refer to “systematic, focused and orderly collection of data for the purpose of obtaining information from them, to solve/answer a particular research problem or question” (Ghauri and Gronhaug, 2010, p. 104). These methods are different from techniques of data collection, research techniques mean a step-by-step procedure in order to gather data and analyse them to answer the research question.

Over the past three decades, development discourse has proffered and discarded numerous research frameworks to underpin policy and practise (Heffernan, 2008). The WB has two main functions; lending (for both projects and policy-based non-project loans) and research (Broad, 2006). Throughout its existence, the WB has been at the forefront of research in development, as a development institute, knowledge is one of its core mandates. Research and data collection are an essential component of the Bank’s programmes and leading edge of

the Bank's contribution to the global public goods agenda (World Bank, 2010). Data is an important research product; the Bank has been at the forefront in expanding the volume, quality and accessibility of development data as the polar for development and well-informed policy making.

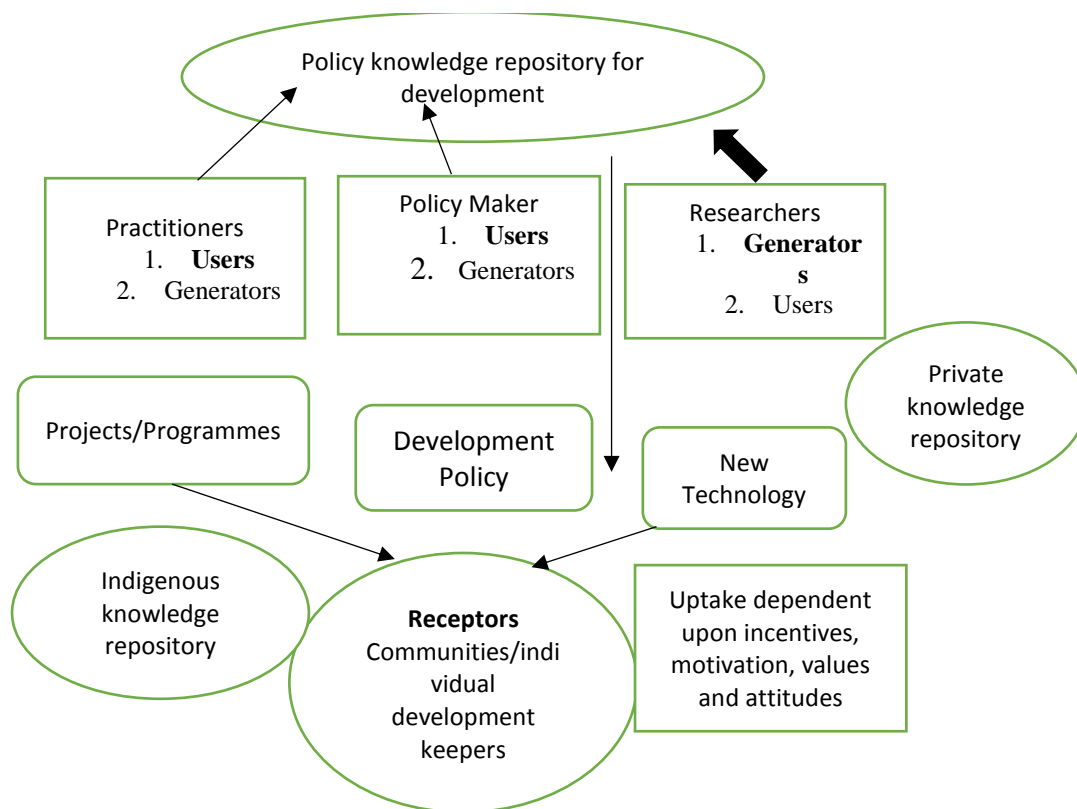
The Bank is not only the main lender for development but the largest development research institute (Broad, 2007). Development economics in the world faces many challenges in its quest to inform development policy making, without a research-based ability to learn from projects and policies such objectives cannot be achieved (World Bank, 2013). Historically, an organised research programme started in the early 1970s with the main focus on producing quantitative and data-heavy research. The following are the history of development research at the WB;

- In the 1950s, the economics department was mainly responsible for conducting financial feasibility studies of proposed projects.
- In the 1960s, the focus was assessment of development projects; improve the Bank's capacity for advisory services; to broaden understanding of the development process; and improve research capacity in member countries.
- In the 1970s, improving understanding of the causes of poverty and the search for policy options.
- In the 1980s, attention shifted toward market incentives and energy was also high on the agenda.
- In the late 1980s, gender and the environment was the focus.
- Poverty, inequality and corruption re-emerged as research topics during the 1990s.

- In the 2000s, emerging economics like China and India, and their impact on the world economy (World Bank, 2010).

Evidently, research generates knowledge, and development practitioners, scholars and stakeholders use such knowledge for development. Knowledge generated by researchers in this current construct is termed as ‘global knowledge repository’. Policy makers and practitioners are primarily users, rather than generators of knowledge. As such, policy makers and practitioners may be considered secondary contributors to the global repository (Heffernan, 2008). Figure 4.2 represent the traditional model of development research. Researchers inform policy makers and practice, and create tools and methodologies for development. Policy makers draw on this knowledge to inform their work, and practitioners use findings in the field. The poor are generally considered the receptors of this knowledge, and uptake of the products of research is dependent upon a wide range of factors relating to attitude, values, motivation, and market and non-market incentives (Heffernan, 2008, p. 690 cites LDG 2004; Nielsen, 2004).

**Figure 4-2 Traditional Model of Development Research**



Source: Adapted from Heffernan (2008, p. 690)

Arguably, there is a missing link between researchers, practitioners and policy makers, they live in parallel universe. There must be a synergy between these players, Court and Young (2006) assert research findings or lessons must shift from the ‘research sphere’ to the ‘policy sphere’, and such might have some impact on policy makers’ decisions and programmes on the ground. They argue that reality tends to be much more dynamic and complex, with two-way processes between research, policy, and practice, shaped by multiple relations and reservoirs of knowledge. The question that arises: ‘how can findings from research are translated to the policy sphere’? This has been consumed by a more delicate one: ‘why are some of the ideas that circulate in the research and policy networks implemented while others are ignored and disappear?’

Direct answer to Court and Young (2006), Habermann and Langthaler (2010) postulate development research is not a recognised discipline often leads to a lack of institutional



acknowledgement. On the other hand, the cross-disciplinary character of development research is one of its strongest assets to help address the complex nature of the globe. Development research is an overarching concept which includes natural, technical and social sciences as well as socio-economic sciences, this cross-disciplinary approach to development research also depict the reality of development practice. Therefore there must be a synergy and interaction between policy makers and practitioners in the field of development and research for sustainable development.

In the literature, a well-known criticism of development research is ‘supply-driven’ with little consideration for the end-user. The ‘top-down’ approach has led to poor outcome, reflecting on low adoption rates of the research. This phenomenon could change if development research is ‘demand-led’ or has the end-user in mind (Heffernan, 2008). The challenge facing developing research, according to Habermann and Langthaler (2010) exerting substantial influence on the discourse in development co-operation, research, and politics is the publication of the book *The End of Poverty*. Development research is fixed in its thematic and theoretical plurality and there are potential epistemological contradictions, for instance there is an assumption that all developing countries share some common characteristics but forgetting that there exist highly diverse political, social, economic and culture context. There should be a synergy rather than division.

It is a big task for development research as a cross-disciplinary field to address wide range of issues embedded in diverse disciplines. What are making this task more challenging are the changing aid policies and their impact on development research (Habermann and Langthaler, 2010). It is an undeniable fact that the development agencies plays a significant role in shaping the agendas of development and research, evidently, research is one of the most important activities of the WB. They generate knowledge through impact assessment of programmes and policies which is essential for accelerating growth and achieving UN’s

M/SDGs) in developing countries. Knowledge creation involves data production, analytical studies, global monitoring and projections, statistical capacity building, policy review, and advice (Dethier, 2007).

The global world is changing rapidly and to be able to cope, the WB suggests one naturally builds on lessons from past research, to identify the knowledge gap in the present and the future is crucial. Given the inherent time lags in the research process; a static perspective on research priorities means always running to catch up, rather than being out in front. However, Habermann and Langthaler (2010) give alternative solutions;

- **The race to the top in the global economy:** development is seen as a process presuming that developing countries will move through a series of stages before achieving industrialization.
- **The race to the universal fix:** with science and technology, adaptation of development models as *sine qua non* with a view of development as a matter of common interest and global responsibility.
- **The slow race to citizens' solutions:** this pathway regards social, culture, and institutional dimensions as key issues, where science and technology become part of a process. They concluded that the main objectives of development research are;

(1) Analysing development as a process and social phenomenon,

(2) Contributing to the achievement of international goals such M/SDGs, and

(3) To analyse development policy and development co-operation and to elaborate on essential topics.

Development in generic terms means gradual growth, evolution, and change whilst research is a systematic investigation. Research create knowledge, however, not all knowledge is conducive to resolve society's problems. Development research should lend to the immediate solution of practical problems and it can be regarded as action research. Researchers in the field of development employ different research methodologies that meet their requirement. For example, Summative evaluation research adopts classical experimental design, needs assessment apply qualitative approaches, and process studies adopt descriptive survey methods. The WB postulate expertise normally uses statistical analysis, measurement theory, and methods of determining internal and external validity while the development researcher requires a deeper knowledge of design technique and theory.

#### **4.7 Methodology adopted**

The research methodology adopted includes the elements of basic and applied research. The basic research method was adapted to: (1) expand knowledge of capacity development using the selected case studies by reviewing the background of the research and building up theoretical concepts of capacity development. (2) Overview and develop universal principles for development practitioners on the ideas and concepts introduced from this research, and (3) produce findings of significance and value to the case study and society. The World Bank (2005b) acknowledge that capacity development lacks fully articulated framework for assessing capacity needs, designing and sequencing appropriate interventions and determining results, therefore, the need to combine both quantitative and qualitative methods. Combining both will provide quantifiable impact of a project as well as an explanation of the process and interventions that yielded these outcomes.

**Justifying the quantitative methods;** quantitative methods are employed to have a deeper understanding of capacity development process in developing countries. The researcher used

quantitative data to build the model and hypothesis of this research; this is to help the researcher have further understanding of capacity development processes. Capacity development process is at its embryonic stage and adopting empirical paradigm in this research can be viewed as exploratory in nature.

**Justifying qualitative methods:** The qualitative method was employed by the researcher to confirm or reject the quantitative data of the research. Quantitative data was collected first followed by qualitative and this is therefore sequential. The quantitative aspect aided in the selection of the case studies, the qualitative method is complementing the quantitative method, and both paradigms are linked. Both methods were conducted separately but were designed to explore similar areas to increase the understanding of capacity development process. Assessing the impact of capacity development requires an analysis of the institutional environment in which the individual(s) operate/s, capacity development is not about the accumulation of knowledge, skills and change in attitude for their own sake, but about how they will be used and the changes that will result. This research will use both qualitative and quantitative methods to answer the research question. The quantitative approach aims to measure absolute values and relative values whilst qualitative approach is to substantiate the linkage the capacity development training provided and the intended or observed outcomes. It can be argued that one single method is not appropriate to explore into reasonable depth and also to answer the research question/s.

#### **4.8 Research Strategy**

Creswell (2009) define research strategy as the models that provide specific direction for procedures in a research design and concluded that research strategy are of types, qualitative, quantitative, and mixed methods designs. While Punch (2001) define research strategy as the path by which the research intends to proceed in order to answer the research question,

simply, Mathews and Ross (2010, p. 130) define research strategy as research plan. Research strategy is the ideas used to achieve the research aims and objectives. Per Creswell (2009) definition, research strategies are classified based on methodology; qualitative, quantitative, and mixed methods. To this Gray (2009) added two more classification based on research purpose and timeframe. The following are the characteristics and classification of research strategies.

**Survey:** provides a numeric description of attitudes, opinions, or many others of a population using sample of the studied population. It involves using structured interviews or questionnaires for data collection (Creswell, 2009).

**Experimental:** measuring effects through manipulation or controlled testing of one or two variable/s to understand causal processes.

**Ethnography:** Associated with social anthropological research, it is often called ‘the field’ or natural setting’ (Mathews and Ross, 2010). The researcher spends a considerable time with the studied population to have a better understanding of their culture, watches and listens to issues of specific interest.

**Grounded Theory:** It is best described as a systematic research strategy. Data collection, theory generation and analysis happen simultaneously (Bryman, 2008). This means that there are no initial theoretical frameworks and theory is created from data as the research progresses.

**Case study:** Investigates one case or a small number of cases, data collected or analysed from large number of features of each. The strategy does not aim at controlling variables and, uses many methods and data source. Case study allows researchers to focus on a ‘case’ and retain a holistic and real-world perspective (Yin, 2014).

**Phenomenological:** this type of research attempts to understand people's perspectives, perception and events. Data collection are relatively unstructured and much emphasis on the inductive collection of large amount of data (Gray, 2009).

Action research: The following are the characteristics;

- Quite unstructured and uses inductive (and qualitative)
- Involve both researchers and practitioners (or practitioners as researchers within their own organisation).
- Can be highly structured and involve the use of experimental and control groups used to test hypothesis (Gray, 2009).

According Gray (2009) research strategy can be grouped based on the timeframe or time availability. Longitudinal study is done if time availability is not an issue. To study change and development over time, while cross-section study using 'snapshot' where the data are collected at one point in time. He added that research strategy can be classified based on their purpose.

**Exploratory:** Seek to explore what is happening and to ask questions about it. They are used when little is known about the phenomenon. It is less structured and adopted when a new topic or issue is explored and more information is required to learn about.

**Descriptive study:** Seek to 'draw a picture' of a situation, person or event or show how related they are. This study is commonly applied within the applied research methods.

**Explanatory study:** Sets to give a vivid account for the descriptive information. This study emphasizes on discovering causal relationships between variables.

Bryman (2008) postulate that some research strategies can be deductive which proceeds from the known (theory) to the unknown (observations/findings). While inductive is proceeds from the unknown (observations/findings) to known (theory) or it is based on logic. The choice of research strategy is determined by a combination of factors such as the researcher's believe, attitude towards a particular theory or it is influenced by whether the research is inclined towards a positivist, or other perspectives (Gray, 2009).

The choice of mixed methods for this research is not coincidence but a well thought through research strategy to achieve the research aims/objectives. Saunders et al. (2003) argue that research strategies should not be thought of as being mutually exclusive. They describe three research strategies; experiments, surveys and case studies. These strategies can use qualitative, quantitative or mixed/triangulation methods.

Researcher's choice of any research strategy depends on the questions that the research seeks to answer, the event/people to be studied and whether the phenomenon is historical or contemporary. A survey within a case study or a case study within a survey has a specific advantage when 'a' 'how' or 'why' question is being asked about a contemporary set of events over which the researcher has little or no control (Yin, 2014, p. 14). This is applicable in this research, the researcher seeks to find out capacity development processes and how these practices could lead to Ghana achieving its development goals and other issues such as knowledge transfer. This is one of the reasons why the researcher has adopted survey and case study research.

#### **4.9 Research Ethics**

Ethical issues in research methodology especially social sciences have gained prominence partly because research involves data gathering or contact with human population. Gray (2009) states that research ethics means 'conducting research in a way that goes beyond

merely adopting the most appropriate research methodology, but conducting research in a responsible and morally defensible way'. However, research ethics goes beyond this, because research ethics involves ontological, epistemological, theoretical and methodological assumptions (Payne, 2000).

Researchers need to be aware of and sensitive to ethical issues involved in research, and codes of conducts are helpful here, in sensitizing researchers to ethical issues in research. Universities and institutions have ethics committees that issue guidelines about ethical practice. Research is simply about seeking people's opinions or answers to question. Ethics committees are there to protect research participants and their institutions, and basically ethics committees are to make research participants are not put at any risk or the risks are 'reasonable' that the participant understand them (Mathews and Ross, 2010).

Ethical issues can be found in all the stage of research cycle and Punch (2001) identifies the basic tenets of the code as follow:

(a) Merit of the research      (b) Informed consent      (c) Research boundaries      (d) Costs/reciprocity  
(e) Benefits      (f) Harm/risk      (g) Confidentiality/anonymity  
(h) Privacy      (i) Honest/trust      (j) Intervention/advocacy      (l) Integrity/quality of research  
(m) Ownership of data and (n) Use of the research

Apart from professional researchers, students usually have to conduct some primary research which may involve data collection (survey, interviews or focus group). Professional associations and educational institutions involved in research have developed their own code of ethics partly to minimize the risk of legal action and also to promote a more professional approach to research (Gray, 2009). Research students must comply with such code of ethics, in most cases the supervisors must agree the research has addressed all the ethical issues and also all the approved processes are adhered to.



#### **4.10 Methods of Data Collection**

Data collection is a practical activity that is carried out within time, spatial and limited resources. It is important to consider how valid research data can be collected effectively and efficiently within those circumstances. In the history of social research, there are a range of research ‘tools’ to aid social researchers to organise and manage the task of data collection. Research ‘tool’ is the means by which research data is collected, for example, questionnaire and interviews (Mathews and Ross, 2010).

Gray, (2009, p. 337) states “questionnaires are one of the most widely used primary data gathering technique” while Bryman (2008, p. 193), argues that research interview is a prominent data-collection strategy in both quantitative and qualitative research.

##### **4.10.1 Observation**

Observation in research is not simply looking at something and then noting down ‘the facts’ but is a complex combination of sensation (sight, sound, touch, smell and taste) and perception. Observation comprises the systematic watching social phenomena in the real world and the recording, analysis and interpretation of actions (Gray, 2009). In social research, observation is usually presented as qualitative data. However, structured observation is about quantitative focusing on the frequency of events, while participant observation is largely qualitative and emphasizes the meaning that human gives to events (Mathews and Ross, 2010; Saunders et al., 2003). Therefore, observation can be present both qualitative and quantitative data.

Essentially, structured observation can be considered as survey methods in research (Bryman and Bell, 2011), researchers may adopt both participant and structured observation as their main methods of data collection or to supplement other methods depending on the research

question(s) and objectives (Saunders et al., 2003). However, Bryman and Bell (2011) state that there are several issues of reliability and validity that confront researchers of the method.

#### **4.10.2 Interview**

In social research data is important, interviews are one of the main data collection methods used by social researchers, offering a direct interaction between the researcher and the respondent (Bryman and Bell, 2011; Mathews and Ross, 2010; Punch, 2001) and are often described as the best data collection methods (Ghauri and Gronhaug, 2010). Considering the literature there are several definitions for the term interview.

According to Gray (2009, p. 369) interview is defined as “a conversation between people in which one person has the role of researcher”. In most cases, the interviewer has a set of written questions posed to the respondent for answers. In discussing the strength of interview for social research, Punch (2001, p. 175) and Gray (2009) concluded that a well-conducted process is a powerful tool for eliciting rich data on respondent’s views, attitudes, and the meanings that underpin their lives and behaviours.

Moreover, interviews for social research can help researchers gather valid and reliable data that are relevant to the research question(s) and objective(s). In a situation where the researcher has not formulated such research question and objectives, interview(s) may help the researcher to achieve this (Saunders et al., 2003, p. 245). Bryman and Bell (2011) state that in research, the interview is a prominent data collection strategy in both quantitative and qualitative research. The foremost reason why researchers adopt interviews is that, it promotes standardization of ‘both’ the asking of questions and the recording of answers. It can be emphasized that interview is an important research tool for collecting research data, which the researcher pose sets of questions to the respondent(s) in accessing their

perceptions, meanings, definitions of situations and construct of reality to enable the researcher answer/achieve objective of the research.

There are different situations in which interview is the most logical research technique, for example, in an exploratory research (Gray, 2009). A brief deal will be given about the different typologies of interviews; focus will be on the semi-structured that is commonly used in research. Table 4.1 shows the characteristics of the three most used interviews in research.

**Table 4-1 Characteristics of Interviews**

<b>Structured Interviews</b>	<b>Semi-structured Interviews</b>	<b>Unstructured Interviews</b>
<ol style="list-style-type: none"> <li>1. Follow a common set of questions for each interview</li> <li>2. Ask the questions in exactly the way, using same words, probes etc for each interviews.</li> <li>3. Present the participant with a set of answers to choose from.</li> </ol>	<ol style="list-style-type: none"> <li>1. Follow a common set of topic or questions for each interview</li> <li>2. May introduce the topics or questions in different ways or order as appropriate for each interview</li> <li>3. Allow the participant to answer the questions or discuss the topic in their own way using their own words.</li> </ol>	<ol style="list-style-type: none"> <li>1. Focus on a broad area for discussion</li> <li>2. Enable the participant to talk about the research topic in their own way.</li> </ol>

Source: Mathews and Ross (2010, p. 221)

### **4.10.3 Questionnaire**

Questionnaire is one of the most widely used survey data collection tools. Respondent(s) is/are asked to respond to the same set of questions. It provides an efficient way of collecting responses from a large sample prior to quantitative analysis. Questionnaires can be used for descriptive or explanatory research (Saunders et al., 2003).

Mathews and Ross (2010, p. 2010) define questionnaire as, “a set of questions which can be answered by the research participants in a set of way.” Although questionnaires are mostly

used as a data collection method, it is however important to link them with other methods in a multi-method approach. Gray (2009) states that questionnaire should be used when they fit the objectives of the research, for example, in case study seeking respondent's opinions and perspectives, a highly structured questionnaire might be completely inappropriate.

Questionnaires are used in a wide range of social research situations, for gathering factual data, for example, peoples' age, gender, income, opinions, ideas, attitudes, knowledge and experience. They are used in cross-sectional or longitudinal research design, where the data is being collected from a sample of a larger population (Mathews and Rossi, 2010). Gray (2009) summaries the advantages of questionnaire as;

- Low cost
- Inflow of data is quick and from larger source
- Convenient for respondent
- Data analysis of closed questions relatively simple
- Anonymity is assured, and
- There is a lack of interview bias.

The choice of any instrument for social research depends on several factors determined by the researcher, basically the research question(s) and objective(s). The type of instrument a researcher chooses will dictate the type of research. The question now is how effective are these instruments? However, it can be argued that adopting mixed data collection instruments is preferable.

According to Saunder et al. (2003) the design of a questionnaire differs per how it is administered, and in particular the amount of contact the researcher has with the participant.

Based on how questionnaires are administered there are two main categories; self-administered and interviewer administered.

**Self-administered:** On-line questionnaire: questionnaires are delivered and returned electronically using either email or the internet. Email offers greater control because most users read and to their own mail at their personal computer. With delivery and collection of questionnaires the researcher can sometimes check who has answered the questions at collection, however, where there are no internet service this instrument is restricted. This instrument will be employed, if respondent(s) agree that he/she has internet service and it's convenient.

**Postal or mail questionnaires:** This is done through the postal services; the questionnaires are posted to respondents who reply them through same means after completion. The response rate is low and the researcher will not adopt this type of instrument.

**Delivery and collection questionnaire:** This is done through the administration by hand to all respondent at homes, offices or places convenient for both, and it will be collected at agreed date and time. The researcher will adopt this instrument for this research because the researcher has a deeper knowledge of the local culture (Saunders et al. 2003). This instrument will be useful for the research.

**Interviewer administered:** Telephone questionnaire: The researcher contacts the respondent through telephone and administers the questionnaire. The responses are recorded by the interviewer on the basis of each respondent's answers. Most researchers in the field of market research employ this technique. Responses can also be contaminated and distorted when recorded. Knowing the disadvantage of the instrument, this will not be suitable for this research.

**Structured interview:** This is different from semi-structured and in-depth interviews, here the researcher meet the respondents physically and ask the questions face to face. The researcher has defined schedule of questions from which he/she should not deviate (Saunders et al., 2003).

As argued above, the choice of any technique for a particular research is influenced by certain factors including the research question(s) and objectives. Questionnaires need to be defined precisely prior to data collection; however, in semi-structured interviews the researcher can prompt and explore issues further. These instruments have their own merits and demerits, combining them in a single research can reduce inefficiencies. Planning is essential in social research, the researcher spends time planning precisely the data to collect, how to analyse them and designing the questionnaire to meet these requirements is necessary to answer the research question(s) and objectives. Experience is required to be able to successful administer questionnaires and also to conduct interviews, these can be achieved by reviewing the literature carefully, and discussing ideas with experts, colleague, project tutor and other interested parties. In research, the techniques normally employed are structured, semi-structured or unstructured interviews, surveys and observations.

#### **4.11 Quantitative Data Analysis**

Almost all research contains some sort of numerical data or encompass data that can be quantified to help researchers achieve their research objectives or answer their research question(s). Quantitative data can be therefore referred to all such data and can be a product of all research strategies. Data can range from simple frequency of occurrence to more complex test scores or prices. Quantitative analysis techniques assist in the process of analysing and interpreting research data, without these processes research project cannot be complete. These processes range from generating simple tables or diagrams which depict the

frequency of occurrence through establishing statistical relationship between variables to more complex statistical modelling. These different levels of numerical measurement dictate the range of technique available to the researcher for the presentation, summary and analysis of data (Saunders et al. 2003).

Significantly quantitative research suggests that hypothesis is deduced from theory and is tested. Broadly speaking deductive approach is used to determine the relationship between theory and the research. The presence of both an element of deductivism and inductivism is indicative of the positivist foundations of quantitative research. Similarly, the emphasis on the translation of concepts into measures is symptomatic of the principle of phenomenism which is also a feature of positivism. Importantly, the phase of translating concepts into measures is the value of quantitative research (Bryman and Bell, 2011).

Taking a critical view at the nature of theories and their relationship to practice, researchers need to explore wide range of theories available and they can select between them. Researcher's choice of data analysis method is influenced by theoretical perspectives or philosophical approach. For example, positivist approach places more emphases on rationality, objectivity, prediction and control. They assume that reality consist of what is available to the senses, inquiry should be based upon scientific observation, and the natural and human sciences share common logical and methodological principles dealing with facts not values. The positivist saw the natural sciences as progressing through the patient accumulation of facts about the world in order to produce scientific laws or generalizations. Discovery is based on quantifiable information (Gray, 2009).

Collection of numerical data is subjected to statistical analysis, according to Saunders et al. (2003) the use of computer has reduced the stress of calculating statistical data and now able to draw presentation-quality diagrams. Before the advent of personal computers, data were

analysed either by hand or using mainframe computers. The use of hand in data analysis was extremely time consuming and prone to error. Currently, by-hand or calculator 'number-crunching' and 'charting' elements of quantitative analysis have been incorporated into relatively inexpensive personal-computer-based analysis software. These range from spreadsheets such as Excel and Lotus 1-2-3 to more advanced data management and statistical analysis software package such as Minitab, SAS, SPSS for Windows and Statview. This research used questionnaire to answer the research question, as it has been argued above questionnaire is essential for social science research and has more advantages.

#### **4.12 Qualitative Data Analysis**

The combination of two research methods in single study has the aim of reducing the weakness associated with each method, and one method cannot solely answer the research question and also achieve the research objectives. Some research tool like questionnaires, observations and interviews may generate numerical and non-numerical data, as meanings can be derived from numbers and meaning can also be derived from non-numeric data. According to Saunders et al. (2003) the type of qualitative data has implications for both collection and analysis. To be able to have quality data they cannot be collected in a standardized, like that of quantitative data. Non-standardised and complex data need to classify into categories before analysis can be done, otherwise result may be an impressionistic.

Most researchers utilize qualitative data because they can give a vivid description of events in a chronological manner leading to serendipitous findings and more convincing to the reader than pages of numbers. However, they lack methodological rigour, prone to researcher subjectivity and also limited in evidence (Gray, 2009). Qualitative analysis should be rigorous and sequential process, a quite bewildering number of approaches to the analysis of



qualitative data, according to Gray (2009) there are no universally accepted rules about how qualitative data should be analysed, but generally it's inductive and involves coding of data.

Qualitative research tends to be exploratory and flexible while quantitative research emphasizes descriptions and testing of hypotheses. There are different approaches to qualitative research such as grounded theory, case study, content analysis, ethnography and phenomenology. Social researchers may combine these approaches in a single research. Many writers and researchers have tried to distinguish between qualitative and quantitative research, according to Ghauri and Gronhaug (2010) ambiguity partly prevails with regards to what distinguishes qualitative and quantitative research. Nevertheless, some distinctions can be made looking at data produced by qualitative and quantitative research, furthermore, Bryman (2008); Gray (2009); Saunders, et al. (2003) and Williams (2007) highlighted some distinct difference between qualitative and quantitative research. (See Table 4.2)

**Table 4-2 Distinctions between Qualitative and Quantitative Data**

<b>Qualitative Data</b>	<b>Quantitative Data</b>
<ul style="list-style-type: none"><li>• Based on meanings expressed through words</li><li>• Analysis conducted through the use of conceptualisation</li><li>• Collection results in non-standardized data requiring classification into categories</li><li>• The relationship between researcher and subject is close/insider</li><li>• Relationship between theory or concept and research is inductive/emergent</li><li>• Research strategy is complicated</li><li>• Process oriented</li><li>• Holistic perspective.</li></ul>	<ul style="list-style-type: none"><li>• Based on meanings derived from numbers</li><li>• Analysis conducted through the use of diagrams and statistics</li><li>• Collection results in numeric and standardized data</li><li>• The relationship between researcher and subject is distant/outsider</li><li>• Relationship between theory or concept and research is deductive/confirmative</li><li>• Research strategy is uniform</li><li>• Result oriented</li><li>• Particularistic and analytical.</li></ul>

Source: Adapted from: S Ghauri and Gronhaug (2010); Gray (2009); Bryman (2008); Williams (2007) and Saunders et al. (2003).

Considering the distinctions between qualitative and quantitative, it is more of epistemological argument both approaches are philosophically irreconcilable. Indeed, researchers who hold to epistemological distinctiveness, regard these approaches as constituting different paradigms. Quantitative research emanates from the objectivist position belief that reality exists independent of the researcher and truth is out there whilst the qualitative research is more closely linked to a constructivist paradigm – which sees truth and meaning as constructed and interpreted by researchers (Gray, 2009).

The two methods are not competing or a replacement of the other but rather an extension to draw from the strengths and minimize the weakness. This research has demonstrated above there are three main techniques of data collection methods:

- questionnaire,
- interview survey, and
- Observation.

Usually social researchers select research methods not on ‘suitability’ but on scientific and objective logic. According to Ghauri and Gronhaug (2010) research methods or techniques are not ‘better’ or ‘scientific’ simply because they are quantitative or qualitative but suitable depending on the research problem and purpose. They further argued that in business research the main techniques used are structured, semi-structured or unstructured interviews, surveys and observations. It is therefore imperative for researchers to think through the most suitable or scientific method/s in achieving the objectives of the research.

Questionnaire is one of the most widely used survey data collection techniques, it provides an efficient way of collecting data from a larger population and can be used for descriptive and explanatory research (Saunders, et al. 2003). They concluded that questionnaire is an effective tool to get opinions, attitudes and description as well as for capturing cause-and-effect relationship. This research is an explanatory and employing descriptive, analytical, comparative and statistical methods involving both qualitative and quantitative approaches. The research data will be collected from Ghana involving two capacity building projects (Local Government Capacity Support Project – LGCSP and Oil and Gas Capacity Building Project (OGCBP). As stated above, this research is explanatory, the nature of data required, large population size, and the delivery and collection questionnaire is the main data collection

tool in this study. The researcher has evaluated all possible data collection tools and has decided questionnaire is appropriate based on the research question(s) and objectives.

In data analysis, there is diversity in qualitative methods. Analysis is based on a common set of principles like transcribing interview; get better understanding of the phenomena under investigation; developing a data-coding system; get and linking codes or units of data to form overarching categories that can lead to the development of theory (Smith and Firth, 2011 cites Morse and Richard, 2002).

Content analysis is a technique used for both qualitative and quantitative research, in collecting and analysing data from verbal, print, or electronic communication with different applications in research. Textual information from interviews, focus group, and open-ended survey questions can be evaluated using content analysis (Kondracki, et al. 2002, p. 224). As argued above, the choice of method(s) depends on the type(s) and length of material to be analysed, results desired, and researcher's preference and technology capabilities.

The process of content analysis consists of coding raw messages (textual material, visual images, and illustrations) according to a classification scheme. The process involved in organising communication content in a manner that allows for easy identification, indexing, or retrieval of content relevant to the research objectives and questions. This can be either subjected to qualitative or quantitative analysis or both (Elo and Kyngas, 2007; Kondracki, et al. 2002). The process has been described as versatile technique for social science and media researchers (Prasad, 2008), and a systematic and objective means of describing and quantifying phenomena. It can be used to test theoretical issues to enhance understanding of the data (Elo and Kyngas, 2007).

Considering the literature, there are various understanding of content analysis, Prasad (2008) concludes that the different definitions of the method shows emphasis placed on aspects such

as system, objectivity, quantification, context and validity – with reference to the inferences drawn from the communication content. Content analysis research method, making replicable and valid conclusions from the data, with the purpose of providing knowledge, new insights, a representation of facts and a practical guide to action (Elo and Kyngas, 2007; Prasad, 2008). Practically, the method aims is to attain a condensed and broad description of the phenomenon, and the outcome of the process is concepts or categories describing the event.

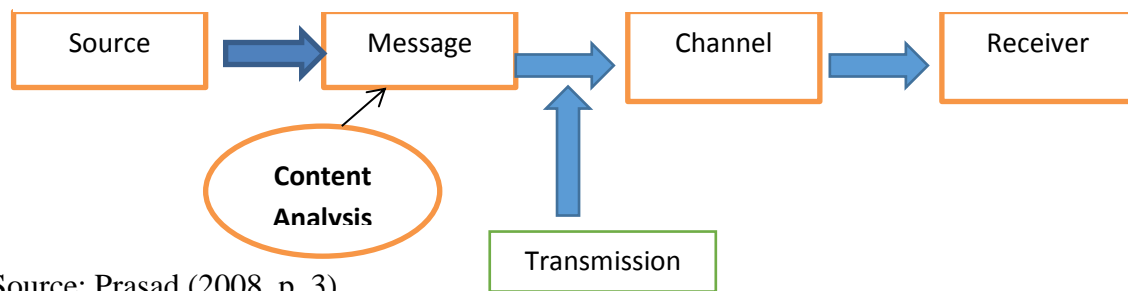
According to Prasad (2008, p. 3) like any other research method, content analysis confirms to three basic principles of scientific method. They include:

- **Objectivity:** which means that the analysis is pursued on the basis of explicit rules, which enable different researchers to obtain the same results from the same documents or messages?
- **Systematic:** the inclusion or exclusion of content is done according to some consistently applied rules where by the possibility of including only materials which support the researcher's ideas – is eliminated.
- **Generalizability:** the results obtained by the researcher can be applied to other similar situations.

Morgan (1993) argues that content analysis in the quantitative field is too simplistic technique that did not lend to detailed statistical analysis; in the qualitative it is not sufficiently in nature. Thus, it is possible to attain simplistic results from data if skills of analysis are lacking. However, despite the criticisms the method has been used in various fields and offers researchers several major benefits. These include; content-sensitive method, flexibility in terms of research design and it is also much more than a naïve technique that results in a simplistic description of data (Elo and Kyngas, 2007). Now, if content of

communication forms the material for content analysis, where does a content analyst researcher can be located in the communication process. Figure 4.3 shows the communication process and where the researcher figures.

**Figure 4-3 Communication Process for Content Analysis**



Source: Prasad (2008, p. 3)

As the figure 4.3 depicts, the researcher is found at the point of the message where inferences about the message, characteristics of the message or the effect of the communication are made to the larger audience. This strategy, according to Prasad (2008, p. 5) has been adopted in social science, psychology, political science, history, and language studies for research. It has broadly been used to understand a wide range of themes such as change, culture symbols, changing trends in the theoretical content of different disciplines, verification of authorship, changes in the mass media content, nature of news coverage of social issues or social problems such as atrocities against women, dowry harassment, social movement, ascertaining trends in propaganda, election issues as reflected in the mass media content, and so on.

The content analysis method may be used either qualitative or quantitative data; moreover, it may be used in an inductive or deductive manner. The selection of any of these is determined by the purpose of the study, if the researcher has no knowledge of the previous of the event or knowledge is fragmented, the inductive approach is recommended and categories are derived from the data. Deductive content analysis is employed when the structure of analysis is operationalized on the basis of previous knowledge and the aim of the research is theory testing (Elo and Kyngas, 2007). Generally, deductive approach is based on an earlier theory

and therefore it moves from general to specific while inductive approach is based on the concept from specific to general.

Prasad (2008) argues that in content analysis the basic questions that are asked; WHO says WHAT to WHOM with WHAT EFFECTS. In a similar argument, Elo and Kyngas (2008) said that in analytical process, the researcher strives to make meaning of the data and learn what is going on and obtain a sense of the whole data. This is summarised as who is telling? Where is this happening? When did it happen? And what is happening? Table 4.3 gives a comprehensive picture of the different uses/application of the method of content analysis.

**Table 4-3 the purpose of Content Analysis**

Purpose	Question	Research Problems
<i>To describe the Characteristics of content</i>	<i>What?</i>	<ul style="list-style-type: none"> <li>- To describe trends in communication content</li> <li>- To relate known characteristics of sources to the message they produce.</li> <li>-To check communication content against standards.</li> </ul>
	<i>How?</i>	<ul style="list-style-type: none"> <li>- To analyse technique of persuasion</li> <li>-To analyse styles</li> </ul>
	<i>To Whom?</i>	<ul style="list-style-type: none"> <li>- To relate known characteristics of the audience to messages produced for them.</li> <li>-To describe patterns of communication.</li> </ul>
<i>To make inferences about The causes of content</i>	<i>Why?</i>	<ul style="list-style-type: none"> <li>- To secure political/military intelligence</li> <li>- To analyse psychological traits of individual</li> <li>-To infer aspects of culture/cultural change</li> <li>-To provide legal evidence</li> </ul>
	<i>Who?</i>	<ul style="list-style-type: none"> <li>-To answer questions of disputed authorship</li> </ul>

<i>To make inferences about</i>	<i>With what</i>	- To measure readability
<i>The effect of content</i>	<i>effect?</i>	- To analyse the flow of information
		-To assess responses to communication.

Source: Prasad (2008, p. 4)

This research adapted the inductive content analysis of the data; the process includes open coding, creating categories and abstraction. Figure 4.4 shows the step by step for both inductive and deductive. The researcher objective of content analysis is to convert raw data from the field to make sense of the data essentially a scientific manner so that a body of knowledge may be built up. The above steps are being expended below:

**Formulation of the research questions or objectives:** A clear statement is made about the research question or objectives, and the analysis is focused on those aspects of content which is relevant for the research. Thus, a well-formulated research question or objective gives specific focus to the study.

**Selection of communication content and sample:** The next step is to locate relevant communication content to answer the research question and also to determine the time period to be covered. The data is worked out to reduce excessive material; sample technique is used for the content analysis thus basic space unit approach.

**Developing content (subject) categories:** Content categories are defined as compartment or “pigeon holes” with explicitly stated boundaries into which the units of content are coded for analysis. This is developed from the research question and also anchored in a view of relevant literature on capacity development and related fields. Content categories are developed in response to the query: What classification would most efficiently yield the data needed to answer the research question?



The category construction is preliminary an examination of the communications developed by the researcher on a small-scale so that will result in the identification of possible content categories before finalising a set of categories. At this stage, every content category is completely and thoroughly defined, showing that type of material included or not. Some definitions are written down before coding begins. These are the basis for the operational definitions of categories. The written material is read through again, and as many headings as necessary are written down in the margins to describe all aspect of the content. The headings are collected from margins on to coding sheets and categories are freely generated at this stage.

**Finalizing units of analysis:** the list of categories is grouped under higher order heading in terms of the research objectives, the content analysis at this stage were based on two questions. They are:

- a. What unit of content is to be selected for classification under the categories? and
- b. What system of enumeration will be used?

The main aim of grouping data was to reduce the number of categories by collapsing those that are similar. The unit of word were in short sentences and word, the context unit was used.

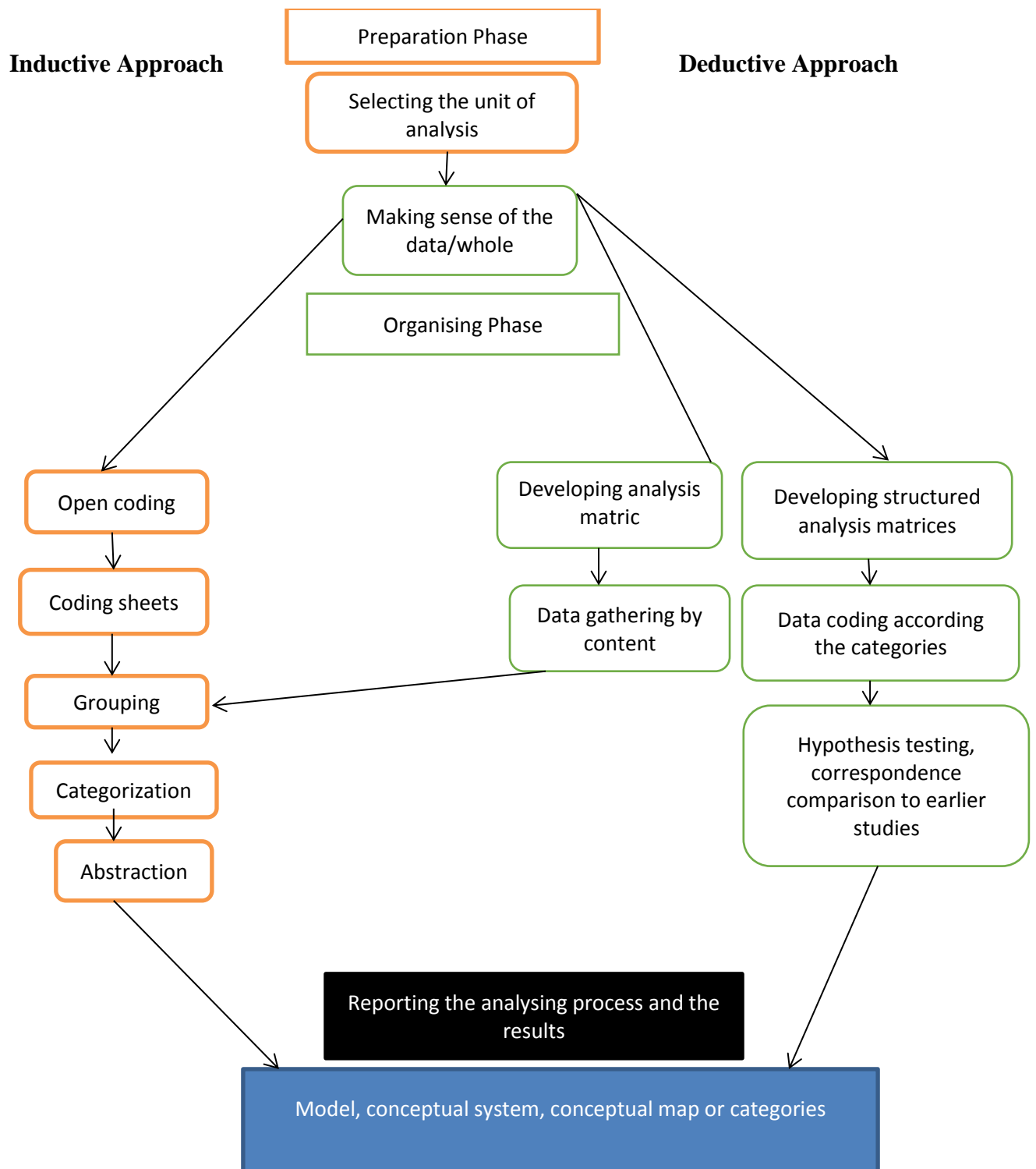
**Preparing a coding schedule, pilot testing and checking inter coder reliabilities:** Defining categories and preparing coding schedule for the analysis and coding of content are simultaneous steps. Piloting the coding schedule was done before launching the full-scale content analysis. At this moment, the researcher made more reliable coding in even a small-scale study and to check the inter coder reliability. The researcher computed for inter coder

reliability by calculating a coefficient of reliability. It is calculated by dividing the number of units placed in the same category by the number of units coded.

$$\text{Coefficient of reliability} = \frac{\text{Number of units in the same category}}{\text{Total number of units coded}}$$

**Analysing the collected data:** The data is analysed by the definition of the research problems which dictate direction, in this research, the description of the profile of the main categories such as characteristics and types of content by period, managers, trainers and so on were the starting point. The analysis became more complex by comparing two or more dimensions. Content analysis is a useful research tool for analysing my research data. The problem encountered includes; it did not tell the researcher about the causal connections between variables under investigation. For example, no changing trends in the content and without careful examination of codes, simple interpretation could be made.

**Figure 4-4 Content Analysis using Inductive and Deductive Approach**



Source: Elo and Kyyngas (2007, p. 110)

#### **4.13 Questionnaire Development**

Questionnaire is a research tool and as such it must be usable so that the reader can easily understand, interpret and complete it (Adams and Anna, 2008). According to Saunders et al. (2003) that the validity and reliability of research data collected and the response rate of the questionnaire depend on the design of the questions, the structure and rigour of pilot testing of the questionnaire. The construction of questionnaire involves series of interrelated steps, Ghauri and Gronhaug (2010) recommend the following steps for questionnaire development: First; the type of information required, this depends on the type of study, research objectives and respondents, second; the mode of questionnaire administration (through mail, personal interview, telephone interview or a combination), third; the construction of individual questions (wording, sequence, response choices and other consideration), fourth; questionnaire pre-testing and the final version.

The above steps were followed in the construction of the questionnaire for this research, with regards to the research objectives and conceptual framework, the following areas were considered.

- Capacity development process/strategy adopted during implementation in developing countries,
- Capacity development process/strategy in achieving some development objectives like M/SDGs,
- Capacity development impact and the achievement of M/SDGs and other development objectives
- Managers' attitude, perception, role and contribution to capacity development and the achievement of development objectives

- The role of capacity development in improving Ghana's performance in achieving development objectives
- The World Bank strategy for the implementation of capacity development in developing countries
- Capacity development strategies, approaches, methods and techniques in Ghana
- Managers' development in the field of development

Depending on the nature of research the choice of data collection method is essential, as argued above the research is explanatory and questionnaire is most suitable and appropriate. It is also important to note that for research involving organisation, it is essential to understand the organisation in which the research is taken place.

The researcher was much careful, particularly with the individual questions on the questionnaire during the development of the questionnaire. The type and wording of the questions and the usage of terms that are likely to be familiar to and understood by respondents is a crucial requirement. The questionnaire has a combination of both closed and open questions, however, majority of the questions were closed-ended and few open-ended. The open-ended questions were used to determine respondents understanding of effectiveness and organisational development. Furthermore, the researcher was much particular about the standard used in designing questionnaire such as being objectives and not ambiguous, factual questions like gender, age, education, experience, organisational position/role, and avoiding slang or jargon words. Each question on the questionnaire covers a single issue (Bryman and Bell, 2011). Appendix 1 shows the questionnaire used for this research.

The questionnaire went through ten (10) stages before the final version. The researcher had an in-depth discussion with his supervisor at every stage of the questionnaire design and

preparation and when the supervisor agreed on the final version, the researcher sent the questionnaire to two senior development consultants with MoFE – Ghana for their comments about the questionnaire construction and design, and to check the language. Both have a deeper understanding of development issues and uses English language in negotiating on government of Ghana development policies with other developed countries. They have commend over the English language, lecture at the University of Ghana Business School. The questionnaire was conceptually equivalent, in measurement and equivalent in response. The questions on the questionnaire were prepared to allow free follow of information from respondents, and finally the questionnaire was pre-tested.

The questionnaire was designed in English language, respondents have formal education and in Ghana English language is official language for communication. Although, there are about forty-six (46) languages in used in Ghana. The researcher was cautious about unnecessary personal data, complex and duplicated questions. Respondents had an official letter explaining the purpose of the research, the aims and objectives, ways of responding to the questions, their security and how the information will be protected. This was to meant to inspire confidence so that they feel free to provide relevant information.

The questionnaire design was tailored to the aims and objectives of the research; the questionnaire has six sections. The first section contained the demographic profile about the sample and their organisation and consists of seven (7) questions. Second section contained information about organisational effectiveness and consist of nine (9) questions. Third section, contained information about management practices and consists of twenty-three (23) questions. Fourth section, contained information about relevance of capacity development programmes and consists of fourteen (14) questions. Fifth section, contained information about the usefulness of capacity development programmes and consists of four (4) questions. Sixth section, contained information about comparison of different capacity development

programmes and consists of seven (7) questions. Most of the questions follow the Likert Scale as shown in Table 4.4

**Table 4-4 Likert Scale**

Score	1	2	3	4	5
Level	Not effective all	Moderately ineffective	Somewhat effective	Effective	Extremely effective
Level	Poor	Satisfactory	Average	Good	Excellent
Level	None	Little	Average	High	Very High
Level	Strongly disagree	Disagree	Moderately agree	Agree	Strongly agree

Source: Data Analysis

The researcher does not wish to ‘reinvent the wheel’; the research starts with a comprehensive review of the existing literature on capacity development. This includes all academic papers, organisational papers, newspapers, governments’ documents, professional magazines, reports, textbook, internet websites, unpublished documents and occasional papers. This is to help the researcher have a deeper understanding of the subject area, the main concepts in the area and how they have been developed and applied. To know if there are any inconsistencies in findings relating to this area and if there are any unanswered research question in this area (Bryman, 2012).

There are two chapters on the literature review; chapter two provides the literature related to capacity development processes, theories and concepts, and different perspectives. Chapter three provides an explanation of capacity development projects and developing of managers, current situation in Ghana including development achievements, background information and economic status.

#### **4.14 Sampling**

According to Ghauri and Gronhaug (2010) when the research problem is identified, an appropriate research design and data collection instrument are developed, research process follows, one possibility is to collect information from each member of the population or collect information from a portion of the population by taking a sample of elements from the larger group. They argued that population refers not only to people, but also firms, products and many more. For example, it might be metropolitan and municipal assemblies, development projects in Ghana. Researchers adopt sampling techniques because of two main reasons; the cost of including all units will often be prohibitive, and the time needed to do so will often be long. Moreover, sampling techniques enables the researcher the chance to reduce the data size.

For quantitative studies, in particular, sampling is extremely important, however, the approach to sampling depends on the research questions, the nature of the data, and the method of data collection. The sampling approach chosen determines the claim a researcher can make for their findings in relation to the wider social context from which they were drawn (Mathews and Rossi, 2010).

Bryman and Bell (2011) advocate that sampling should not be biased, a biased sample is one that does not represent the population from which the sample selected. It is incredibly difficult to remove biasness altogether, but to prevent this, is to ensure truly representative sample. What needs to be done is to ensure that steps are taken to keep bias to an absolute minimum. They contend that sample size is not fixed, it depends on various factors there is no one definitive answer. Sample size and the technique used are also influenced by availability of resources, in particular financial support and time available to select the sample and to collect, enter into a computer and analyse the data (Saunders, et al., 2003).



However, researchers should consider between limitation of time and cost, accuracy of the research in selecting the sample techniques and size.

Purposive sampling was employed in selecting the two projects; the focus was capacity development projects being sponsored by the WB. These projects (Local Government capacity support project and Oil and Gas Capacity Building Project) are unique in the sense that Ghana discovered oil in a commercial quantity and there was the need to build the capacity of institutions engaged in the oil sector, and also LGCSP provide an integrated package of support to development the capacity MMAs across the country. This support is provided to all forty-six (46) MMAs.

The researcher used stratified random sampling where the MMAs have been divided to four geographic zones, the zones will be;

- Zone 1: Tamale, Yendi, WA, Bolgantanga, Techiman, Kintampo, Asunafo North, Dormaa, Sunyani, Wenchi, Bawku, Berekum.
- Zone 2: Kumasi, Asante Akim North, Bekwai, Ejisu Juabeng, Mampong, Obuasi, Offinso, Nsawam-Adoagyir, Birim Central, East Akim, Kwahu West, New Juaben and West Akim.
- Zone 3: Cape Coast, Agona West, Assin North, Effutu, Komenda/Edina/Eguafo/Abirem, Mfantseman, Upper Denkyira East, Sekondi-Takoradi, Nzame East and Tarkwa-Nsuaem.
- Zone 4: Ho, Hohoe, Keta, Accra, Tema, Adenta, Ashaiman, Ga East, Ga West, Ledzekuku-Krowor and Weija.

The sample size has divided among the above zones, four (4) MMAs was selected from each zone. The researcher put a threshold value for the criteria of these MMAs who are still active in the project would participate in the studies. Forty (40) questionnaires were distributed to each zone, ten (10) each for MMAs and a total one hundred and sixty (160) questionnaires were distributed and one hundred (100) were returned. This represents a response rate of 62.50% (shown on Table 4.5). The figure ten (10) was used because each MMAs have at least five departments and two officers were selected.

**Table 4-5 the Distribution of the Sample for LGCSP**

Zone 1 (27)				Zone 2 (26)				Zone 3 (25)				Zone 4 (22)			
Tamale	Techiman	Sunyani	Wa	Kumasi	Bekwai	Kwahu West	New Juabeng	Cape Coast	Tarkwa-Nsuaem	Mfantseman	Sekondi-Takoradi	Accra	Tema	Ga West	Ledzekuku-Krowor
7	7	9	4	8	5	5	8	5	8	7	5	7	3	7	5

Source: Data Analysis

From the Ministry of Energy and Petroleum (the implementing agency) there are nine (9) institutions involved in the oil and gas capacity building project, and the researcher picked all the nine (9) institution for the research, each institution is unique. Ninety (90) questionnaires were distributed and seventy-three (73) were returned from the institutions. This represents a response rate of 66.67% (see table 4.6). The ten figure was used because each institution has at least five persons selected for the programme.

**Table 4-6 the Distribution of the Sample**

<b>Institutions</b>	<b>Number of Questionnaire</b>	<b>Response Rate</b>
Kwame Nkrumah University of Science and Technology (KNUST)	10	5
Environmental Protection Agency	10	8
Ghana Revenue Authority	10	10
Ministry of Finance	10	8
Petroleum Commission	10	10
Economic and Organised Crime office (EOCO)	10	7
Ghana National Petroleum Commission (GNPC)	10	9
Attorney General's Department (AG's)	10	8
Council for Technical and Vocational Education and Training (COTVET)	10	5
Total	90	73

Source: Data Analysis

Two hundred and fifty (250) questionnaires were distributed and one hundred and sixty (160) were returned from all the three projects. This represents a response rate of 64.0%.

#### **4.15 Interviews**

The limitation of one research method such like quantitative methods in social research, quantitative method was compensated by a qualitative method, realized through semi-structured personal interviews. Gray (2009) describes interviewing as a conversation between people with a definite purpose. By using survey, interview, and observational data, they were able to combine the specificity and accuracy of quantitative data with the ability to interpret behaviour and complex perceptions, provided by qualitative analysis (Bryman and Bell, 2011).

Generally, as common with quantitative analyses and according to Creswell (2007) there are various forms of interview design that can be developed to generate thick, rich data utilizing a qualitative investigational perspective. Qualitative interviews have been categorised in variety of ways, with many contemporary research, as summarized by Gall et al. (2003) as unstructured, semi-structured and structured. They argue that for the unstructured interview, “entirely on the spontaneous generation of questions in a natural interaction, typically one that occurs as part of ongoing participation observation framework” (p. 239). This type of interviews is unstable or unreliable because of inconsistency and difficult to code or analyse (Creswell, 2007). However, Turner (2010) this method allows flexibility and originality in the questioning as a key for success. They are regarded as more or less to guide conversations and are normally adopted in ethnographic research (DiCicco-Bloom and Crabtree, 2006).

In research project, semi-structured interviews are often the sole data source for a qualitative research. They are generally scheduled in advance at agreed time and location by both the interviewer and the interviewee. Usually are organised around a set of predetermined open-ended questions, with other questions emerging from the conversation (DiCicco-Bloom and Crabtree, 2006). However, Creswell (2007) the open-ended interviewing is difficult to code

data. For the structured interviewing, questions are structured than the informal conversation. (Turner, 2010), and often these interviews produce quantitative data (DiCicco-Bloom and Crabtree, 2006).

The questionnaire were used to collect information from employees who were part of the capacity development activity, however, on the questionnaire a section was provided for participants who were to be interviewed. Semi-structured interview were conducted with people that are involved in capacity development project from each of the selected companies and institutions. Participants, controversial topics which may hurt the participants ought to be avoided. The semi-structured interview questions were from following the areas;

- Their organisation and experience
- Organisational effectiveness
- Management Practices
- Relevance of capacity development project
- Usefulness of capacity development, and
- Comparison of World Bank's capacity development with other institution

The companies and institutions were the focus of this research, although managers were also involved in the interviews, because of their knowledge and understanding about the process of capacity development. The purpose of these questions was to assist to answer the research question/s. "Semi-structured and in-depth, or non-standardized, interviews are used in qualitative research in order to conduct discussions not only to reveal and understand the 'what' and 'how' but also to place more emphasis on exploring the 'why' (Saunders, et al. 2003, p. 248). They further argue that managers prefer to be interviewed than to respond to

questionnaires. Topically when the topic is close to their area of work and is very reluctant to disclose any sensitive information in a written form.

Content analysis was used to identify different attitudes and perception of the interviewees and each interview lasted for at least 30 - 97 minutes. Interviewing has its own weaknesses and limitations especially the problem of subjectivity, functional bias or interpretation of the questions. Some participants might be uncomfortable sharing all that the researcher wish to explore, however, researchers should overcome such challenge by developing personal interaction and cooperation with the respondent. According to Saunders et al. (2003) interviews combined with other data collection techniques allow researchers understand the tacit behaviour and deeper meaning of participant's statements. The semi-structured interviews have been used to confirm findings, clarify misconception or gathering additional quality information after the filled questionnaires have been collected from the field.

#### **4.15.1 Interview schedules**

The interview questions were designed into six (6) sections. A total of twenty-three questions in the sections and these were divided into six (6) sections: Their organisation and experience, Organisational effectiveness, management practices, relevance of capacity development programme, usefulness of capacity development and comparison of World Bank's capacity development with other institution. These are the critical areas for this research, as its objective is to assess the impact of capacity development project or causative effect on Ghana's development objectives. Appendices two shows sample of the interview questions and rich data collected.

#### 4.15.2 Approaches to the interviews

The number of people interviewed in each organisation/institution is presented below (Table 4.7)

**Table 4-7 Number of people interviewed in all the two cases**

Case Study	Number of people interviewed	Position of Respondents
Local Government Capacity Support Project-LGCSP	6	World Bank Officer Project Coordinators Budget officers Planning Officers Finance Officers Work Superintendent
Oil and Gas Capacity Building Project	6	Project Coordinator GNPC, GRA, EPA, EOCO, Attorney General's Department, Ministry of Finance and Petroleum commission

Source: Data Analysis

The interviews were conducted with twelve (12) representatives of the surveyed projects; Six (6) representatives were surveyed from LGCSP. Four representatives were randomly selected from each zone and the two are from the WB and project coordinator at the local Government Ministry. Six (6) representatives were surveyed from oil and gas capacity development project.

These representatives were selected based on the level of fulfilment of the collected questionnaire, specifically by the quality of responses of descriptive questions and where there is the need for clarity. Purposive sampling was used in selecting managers especially project managers and coordinators. The representatives from the projects interview focus

around their expectations and why were their institutions selected, as well as around benefit that they have received as a result of being part of the project or the level of meeting their expectations. The WB representatives were asked the objectives of the project, expectations, why those institutions were selected, and the current state of the project.

**Initial Contact:** After the projects were selected, the researcher contacted the officials at the WB and the project implementers their willingness to take part in the research. The researcher had positive responses from these officers; the researcher's supervisor sent an official letter to the project coordinators. The project coordinators gave the researcher an official letter to be sent to the project site managers for acceptance of participation in the research.

The researcher contacted the project site managers through telephone to seek their consent for semi-structured interview. A formal consent letter and the purpose of the research were sent through email, the researcher followed up with a telephone call to book an appointment for the interview.

**Semi-structured interview recorded on tape:** Interviews were scheduled and conducted either at interviewee's office, private cars or public places. All the interviews were face-to-face and were recorded on tape. Also the interviews were carried out in English and the tape recordings were transcribed and some of these were summarised. The summarised transcripts were made to conform to this research's ontology. Appendix four shows a sample of the transcribed interviews.

**Documents from interviewees:** The researcher received documents concerning the selected projects either by the World Staff, project coordinator or project site managers. Some of the documentations were collected through emails, printed hard copy and the official website of the WB. The researcher received all documentations on the selected projects, where there was



the need for clarity in the documentation or interview transcripts the researcher called or emailed to the appropriate officer for clarification. After the interviews were transcribed, the researcher sent the transcript to the various interviewees for any misquoting or misunderstanding of statement of facts. Where errors were detected, this was corrected by the researcher in consultation with the interviewee. This strategy was adopted to reduce the likelihood of error/s and inaccuracy of information supplied by interviewees.

#### **4.16 Pilot Study**

Bryman (2011) emphasizes that it is always desirable to conduct a pilot study before administering a questionnaire or interview schedule to your sample. He concludes that the desirability of piloting research instrument is not solely ensuring that survey questions operate well; piloting also has a role in ensuring that the research instrument as a whole functions well. The main purpose of the pilot test is to refine the questionnaire so that participants will not have problem in answering the questions and also recording the data. Similarly, enable the researcher to ascertain the questions' validity and likely reliability of the data that will be collected. This helped the research questions to be answered (Saunders et al., 2003).

Research instrument like interview schedule can be modified if certain questions appear to be ineffective, questionnaire is essential and should be accurate, unambiguous and simple to complete. Piloting is vital and judicious piloting will reduce the incidence of non-response to the questionnaire (Gray, 2009). He further argues that it will be wise to pilot at least 50% more questions to eliminate confusing or unreliable questions.

The number of respondents on whom the researcher piloted the questionnaire and the number of pilot test conducted are dependent on the research question(s), objectives, the size of the research, time and financial resources available, and how well the researcher have initially

designed the questionnaire. The larger the research, the numerous field trials starting with individual questions and working up to larger and more rigorous pilots of later draft (Saunders et al., 2003).

Consequently, the researcher reviewed the questionnaire in three stages. First, it was reviewed by colleague researchers who have deeper understanding of questionnaire design. Twelve drafts were sent to faculty members in Warwick University-UK and University of Ghana-Legon. Secondly, the questionnaire was piloted by thirteen (13) members of Warwick University and finally, the questionnaire was piloted by ten (10) senior development consultants in Ghana.

As argued above, the research instrument should be piloted to measure its validity and reliability of the data collected. The researcher distributed the prepared questionnaire to some selected senior experts having deeper understanding in the field of the study to give their opinion and remarks on the questionnaire. A group of experts set by the researcher and supervisor were asked to comment on the representativeness and suitability of the questions in the questionnaire. A panel of ten experts gave suggestions on the structure of the questionnaire; this will help establish content validity of the questionnaire and its relevance to the research objectives. A second panel was set up, made up of four experts with a deeper knowledge in statistics, they identified statistical validity of the questionnaire and whether the questionnaire designed has relation with other variables. These experts come from University of Ghana, Warwick University and Ministry of Finance and Economic Planning Ghana.

The comments and suggestions from these experts were carefully considered and all suggested comments were discussed with the researcher's supervisor before any modifications or changes were made. Overall, there were some minor changes and

modifications were made, and also introduced additional questions to address the objectives of the research. Finally, the questionnaire was constructed.

#### **4.17 Research Validity**

Measurement validity means the extent to which an instrument measures what it is supposed to measure; an indicator is valid to the extent that it empirically represents the concept it purports to measure. There are different approaches to the validation of instruments, three of the main ones are content validity, criterion-related validity, and construct validity.

##### **4.17.1 Content Validity of the Questionnaire**

Two groups of experts were consulted to test the content validity of the questionnaire. The first group evaluate and identify whether the questions are in line with the scope of the research and to what degree the questions reflect the concept of the research problem. The other group evaluated to determine whether the questionnaire is statistically valid and also there is a relationship between variables. After a few modifications and changes, both groups agreed that the questionnaire is valid and suitable to measure the concept of the research.

##### **4.17.2 Criterion-related Validity of the Questionnaire**

To validate questionnaire two statistical tests were applied. The criterion-related test (Pearson test) measures the correlation coefficient between each paragraph in one section and the whole section. The structure validity test (Pearson test) measures the validity of the questionnaire structure in each section and the whole questionnaire. The correlation coefficient between one section and the whole section in the questionnaire have similar level of scale.

Correlation coefficient was used to measure the internal consistency of the questionnaire by using forty (40) questionnaires measuring the correlation coefficient between each paragraph

in one section and the whole section. Table 4.8 shows the correlation coefficient and p-value for each section of the paragraph. The p-values are less than 0.01 in the table 5.8, therefore the correlation coefficient of the section are significant at  $\alpha = 0.01$ . It can be concluded that the paragraphs of each section are consistent and valid to measure what it was set for.

**Table 4-8 Correlation coefficient between each paragraph in one section and the whole section.**

No.	Factor/Purpose	Correlation	p-value	Sig. level
1.0	<b>Rate the extent your organisation requires Capacity Development programme/Training?</b>			
	<b>Management Practices</b>			
a.	Programme Development	0.785	0.000	**
b.	Financial planning/budgeting	0.830	0.000	**
c.	Administrative	0.890	0.000	**
d.	Funding approach/raising/development	0.790	0.000	**
e.	New programme development	0.895	0.000	**
f.	Planning	0.936	0.000	**
g.	Human resource development	0.569	0.000	**
2.0	<b>Was the programme related to your country's development goals (MDGs)?</b>			
	<b>Relevance of World Bank's Capacity Development/Building Programme</b>			
a.	Eradicate extreme poverty	0.934	0.000	**
b.	Achieve universal primary education	0.780	0.000	**
c.	Promote gender equality/empower women	0.674	0.00	**
d.	Reduce child mortality	0.562	0.000	**
e.	Improve maternal health	0.742	0.000	**
f.	Combat HIV/AIDS, material and other diseases	0.587	0.000	**

g.	Development global partnership for development	0.634	0.000	**
3.	<b>Who were the facilitators for the programme?</b>			
a.	Staff from your organisation	0.651	0.000	**
b.	From World Bank	0.910	0.000	**
c.	Government staff	0.675	0.000	**
d.	External consultant	0.915	0.000	**
4.	<b>Who sponsored the programme?</b>			
a.	Your organisation	0.903	0.000	**
b.	World Bank	0.677	0.000	**
c.	Government of Ghana	0.955	0.000	**
d.	Partnership between government and World Bank	0.509	0.000	**
e.	Partnership between your organisation and World Bank	0.767	0.000	**
5.	<b>Please rate the degree of effectiveness of the activity in each area noted below?</b>			
	<b>Usefulness of the Capacity Development</b>			
a.	Helping you develop contacts, partnership/build coalitions in the field	0.911	0.000	**
b.	Raising your awareness and understanding of the development issues important to your country	0.642	0.000	**
c.	Helping you develop strategies or approaches to address the needs of your organisation	0.722	0.000	**
d.	Helping you develop strategies or approaches to address the needs of your country	0.515	0.000	**
e.	Providing you with knowledge or skills	0.635	0.000	**
f.	Helping you better understand your role as an agent of change in your country's development	0.655	0.000	**
6.	<b>How often have you used the acquired knowledge and skills for the following purpose?</b>			
a.	Conducting research	0.272	0.000	**

b.	Teaching	0.617	0.000	**
c.	Raising public awareness in development issues	0.523	0.000	**
d.	Implementing new practices within your work organisation	0.399	0.000	**
e.	Organizing collective initiatives	0.499	0.000	**
f.	Influencing legislation and regulation	0.860	0.000	**
g.	Implementing country development strategies	0.609	0.000	**
h.	Implementing community development strategies	0.590	0.000	**
7	<b>To what extent did the following factors help the process of utilising the knowledge, skill and value that you acquired at the programme/activity?</b>			
a.	Your work environment (work procedures, colleagues, incentives systems and funding)	0.841	0.000	**
b.	Your country's development environment (country policies, social group, political group, readiness for reforms, etc.)?	0.772	0.000	**
8.	<b>How has the programme/activity had an influence in the following areas?</b>			
a.	Research	0.572	0.000	**
b.	Teaching	0.921	0.000	**
c.	Public awareness in development issues	0.575	0.000	**
d.	Implementing new practices within your work organisation	0.647	0.000	**
e.	Collective initiatives	0.682	0.000	**
f.	Legislation and regulation	0.587	0.000	**
g.	Country development strategies	0.691	0.000	**
9.	<b>How would you describe the type of the capacity development activity?</b>			
a.	Video Sessions (Distance learning)	0.842	0.000	**
b.	Class room (face-to-face)	0.572	0.000	**
c.	Mix of video/face-to-face	0.691	0.000	**
d.	Conference	0.584	0.000	**
e.	Web-based learning	0.756	0.000	**

f.	Study tour	0.691	0.000	**
10	<b>Which of the following best describes the organisation in which you are working?</b>			
	<b>About the Organisation</b>			
a.	University/research institution	0.853	0.000	**
b.	Non-governmental organisation (not-for-profit)	0.641	0.000	**
c.	Media	0.812	0.000	**
d.	Private sector	0.586	0.000	**
e.	National/central government	0.753	0.000	**
f.	Regional government	0.876	0.000	**
g.	Local government	0.816	0.000	**
11	<b>Which of the following best describes the functions of your organisation?</b>			
a.	Research	0.745	0.000	**
b.	Teaching	0.843	0.000	**
c.	Policy making/legislation	0.944	0.000	**
d.	Management/administration	0.657	0.000	**
e.	Provision of services (health, financial, etc.)	0.581	0.000	**
12	<b>Which one of the following legal forms best describes your organisation?</b>			
	<b>Organisational Effectiveness</b>			
a.	NGO	0.856	0.000	**
b.	Community based-organisation	0.675	0.000	**
c.	Limited liability company	0.745	0.000	**
d.	Partnership	0.696	0.000	**

\*\* Correlation coefficient is significant at the  $\alpha=0.01$

Source: Data analysis

#### **4.18 Research Reliability**

Reliability of an instrument is the degree of consistency of measures schedule over time. It is observed that any one measurement is not perfectly accurate; it has some degree of error/s. The smaller the error the more accurate the measurement and the larger the error the less accurate the measurement. There are several ways of measuring reliability, and can include measures of stability, equivalence and inter-judge reliability. The extent of this consistency is measured by a reliability coefficient using a scale from 0.00 (very unreliable) to 1.00 (perfectly reliable). In practice a score of 0.9 is generally deemed to be acceptable (Gray, 2009). There are several ways in which this coefficient can be calculated. One of the most common is Cronback's alpha, which presents the average of all possible split-half correlations, and so measures the consistency of all items, both globally and individually.

#### **4.19 Half Split**

Half-split reliability, the items in a scale is divided into two groups either randomly or on an odd-even basis and the relationship between respondents' score for the two halves is computed. The Spearman Brown correlation coefficient of correction is used correcting the Pearson correlation coefficient and the corrected correlation coefficient (consistency coefficient) is computed per the following equation:

$2r/(r+1)$ , Where  $r$  is the Pearson correlation coefficient.

The correlated correlation coefficient varies between 0.00 and 1.00 and the nearer the result is to 1.00 – preferably at or 0.80 – the more internally reliable is the scale. As shown in Table 4.9 all the corrected correlated coefficient values which are between 0.00 and 1.00 and the significant ( $\alpha$ ) is less than 0.05. The correlation coefficient are significance at  $\alpha = 0.05$ , the result indicates the reliability of the questionnaire using the Half Split method.



**Table 4-9 Half Split**

Section	Pearson-correlation	Spearman-Brown coefficient	p-value
<b>Questionnaire measured according to Likert scale</b>	0.7650	0.8509	0.000

Source: Data analysis

#### **4.20 Cronbach's Coefficient Alpha**

Alpha was developed by Lee Cronbach in 1951; this is to measure the internal consistency of a test or scale. It is expressed as a number between 0.00 and 1.00. The Cronbach's coefficient Alpha can lead to situation in which either a test or scale is wrongly discarded for not generating trustworthy results. The higher the value of Cronbach's Coefficient Alpha, the higher the internal consistency. Table 4.10 shows the Cronbach coefficient alpha calculated for all sections and the result indicates reliability of the questionnaire.

**Table 4-10 Cronbach's Coefficient Alpha**

Section	No. of Items	Cronbach's coefficient alpha
<b>Questionnaire measured per Likert scale</b>	60	0.8762

Source: Data analysis

From the above data set, it can be concluded that the research questionnaire was valid, reliable, and can be distributed to the research population.

In research statistical data is manipulated to achieve the research goal, the researcher adopted the statistical package for the research (SPSS) for analysing and manipulating the data. The following statistical methods were adopted:

- Frequencies and Percentile
- Alpha-Cronbach Test determining reliability of the questions of the questionnaire
- Spearman – Brown Coefficient
- Person correlation coefficient for determining validity of the questions of the questionnaire
- One sample test
- Independent sample test
- One way ANOVA test, and
- Multiple Comparison Scheffé test

#### **4.21 Field work limitations**

Generating research data and doing the field work is one of the most monotonous and laborious especially in a developing country, as Saunders et al. (2003) describe gaining physical access or entry can be difficult for a number of reasons. First, organisations or individuals may not be prepared to engage in additional time or resources required for the research. Second, the request may fail due to the interest of person who receives it, and third, the organisation may find itself in a difficult situation owing to external events totally unrelated to any perceptions about the nature of the request. Although the researcher encountered such difficulties but the researcher has negotiation with senior managers before gaining access to some of the institutions. A written letter from the implementing agencies helped the researcher to gain access to all the selected institutions.

The fieldwork is permeated with conflict between what is theoretically desirable and what is practically possible. It is desirable to ensure representativeness in the sample, uniformity of interview procedures, adequate data collection across the range of topic to be explored.

The field work covers all the ten (10) regions in Ghana, the institutions selected were all scattered over the country and the researcher has to travel to all ten regions. The researcher travelled to each institution at least four times to distribute the questionnaires, collect the filled questionnaire and interview participants. The researcher confronted problem of project managers join other organisations in the middle of the research, go on holiday, lose the questionnaire/s and fill the questionnaire wrongly. These issues prolonged the time frame for the fieldwork, ballooned the estimated budget and also forced the researcher to make the sample less than was initially planned.

Ghana as a developing country has illiteracy as a major problem leading to lack of academic awareness and lack of knowledge about the research importance, a total of 28.2% participants refuse to fill the questionnaire and also refuse to give vital information on the questionnaire because such information should be private or a top secret. For example, two participants said giving information about their work experience and job descriptions were top secret.

The researcher recognizes that there are a lot of studies, journal papers, books, reports, documentaries and websites on capacity development, however, literature on capacity development is sparse, documentation of capacity development projects poor and the policy is at its embryonic stage. Finding material peculiar to Ghana was problematic, since the primary dissection between the researcher and the supervisor about this research, both agreed to cover World Bank projects in Ghana because of their records of managing capacity development projects in developing countries.

#### **4.22 Integration of Qualitative and Quantitative data**

This research involves two different capacity development projects sponsored by the WB and implemented by different Ministries. Project one – LGCSP, is implemented by Ministry of Local Government and Rural Development, and the second project is also implemented by Ministry of Energy and Power. The researcher decided not to combine both projects as one in the data generation because the researcher wants to determine the individual contribution to the research and also the number of participants in project one are more the participants in project two. Project one had hundred and sixty (160) questionnaire distributed and hundred (100) were returned presenting sixty-two point five percent (62.5%), while project two had ninety (90) questionnaires and seventy-three (73) were returned representing eighty-one point one percent (81.1%). For the interviews six (6) participants each were selected for the projects.

In the data generation stage, the questionnaires were distributed to participants and after the questionnaires were collected interviews appointments were made to those who agreed to be interviewed as were indicated in the questionnaire. The researcher selected sequential mixed methods data generation strategies because in the generation of the data it is an iterative process, the data generated in one phase contribute to the data generated in the next. According to Creswell and Clark (2007, pp. 121) data were collected in these designs to provide more data about results from earlier phase of data collection and analysis, to select participants who can best provide that data, or to generalize findings by verifying and augmenting study results from members of a defined population.

Considering the literature, there are several strategies by which qualitative data collected can be used to complement the quantitative data during data analysis (Driscoll, et al. 2007). The researcher adapted a strategy where structured questionnaire and open-ended key informant

interviews in an iterative analytic process which provides information on emergent and unexpected themes. The survey was analysed with SPSS while the interview the researcher used content analysis, and these design revealed a significant and heretofore initial analysis of the survey responses demonstrated that capacity development project has an association with the improvement in participants output. The interview response shows that there is no disparity in participants work output in participating in the capacity development project.

The researcher explored the association between capacity development project and participants work in the survey, and the resulting theme were integrated with the in-depth interviews, responses. The researcher used inductive approach in analysing the interview responses. Appendix 3 for the steps involved. Appendix 4 also gives some of the abstraction from the interview responses.

#### **4.23 Summary of the Chapter**

This chapter explains the research philosophy, paradigms and a number of research techniques in order to identify the most appropriate research methodology to answer the research aims and objectives. The chapter discusses qualitative and quantitative method of research and the researcher adopted both methods especially questionnaire survey and interview for the research. These techniques equipped the researcher to conduct a reliable and valid research.

This research is exploratory and descriptive which enable the researcher to identify and verify phenomena, and also explain relationships between variables. The research methodology adopted both the element of basic and applied research. Capacity development lacks fully articulated framework for assessing capacity needs, designing and sequencing appropriate interventions and determining results, therefore, the need to combine both quantitative and qualitative methods. Combining both will provide quantifiable impact of a project as well as

an explanation of the process and interventions that yielded these outcomes. The researcher used quantitative data to build the model and hypothesis of this research; this is to help the researcher have further understanding of capacity development processes.

The qualitative method was employed by the researcher to confirm or reject the quantitative data of the research. Quantitative data was collected first followed by qualitative and this is therefore sequential. The quantitative aspect aided in the selection of the case studies, the qualitative method is complementing the quantitative method, and both paradigms are linked. Both methods were conducted separately but were designed to explore similar areas to increase the understanding of capacity development process. This research has adopted both qualitative and quantitative methods to answer the research question. The quantitative approach aims to measure absolute values and relative values while qualitative approach is to substantiate the linkage the capacity development training provided and the intended or observed outcomes.

In addition, the research process and strategy, and how the objectives were achieved was detailed. The design of the research; survey and case studies were also be detailed and how data collected was explained. Finally, the researcher has given the fundamentals for data collection and data analysis.

## **Chapter Five**

### **5.1 Descriptive Statistics – Data Analysis**

#### **5.2 Introduction**

Research methodology adopted for this study has been discussed in chapter four. The chapter explained the various methods of data collection for this research, the mode of delivery and collection of questionnaires and how interviews were conducted. The data for this research has been collected from the field hence the need for analysis, investigation and interpretation. The main aim of this chapter is to analysis the questionnaire and interview data collected from the field. The findings from the data analysis will be presented.

Descriptive statistics – frequencies, mean and percentages are used to present the data in order to establish any similarities, trend and characteristics of the surveyed projects, whilst simultaneously providing adequate statistical support for the findings. This analysis gives a vivid picture of the distribution of the data which help in answering the research questions and achieving the research objectives. First, this chapter will look at the percentages of the data collected from the field for each of the project. Initially the planned projects for data collection were three but however due to the inadequate data from one project, the researcher will present the two projects data. The final two projects: Project one; LGCSP and OGCBP.

This chapter will look at the demographic profile of respondents, their organisation, managerial practices of the organisations of the respondents, relevance of the capacity development programme, usefulness of the programme to their organisation development, and finally comparison of the WB's capacity development programme with similar capacity development offered by different organisation. The chapter will end with a summary.

### **5.3 Quantitative evidence – the use of questionnaire**

Project (1) Project One: Local Government Capacity Support Project – LGCSP

Project (2) Oil and Gas Capacity Building Project – OGCBP

#### **5.3.1 Section one: Demographic Profile**

Various definitions and frameworks for capacity development have been advanced in the literature. While they differ in detail, all underscores the importance of understanding the context in which development is being considered. They also reflect on the agreement on the notion that there are different levels of capacity (e.g. individual, organisational and societal) and it is proper to be cognizant of, and responsive to, the relationships among them (Bolger, 2000). This section presents and discusses responses to the questionnaire on the LGCSP and OGCBP. In order to explore the background of participants who were involved in the WB's capacity development programme in Ghana, respondents were asked of their age, gender, education, organisational type and function.

##### **5.3.1.1 Age**

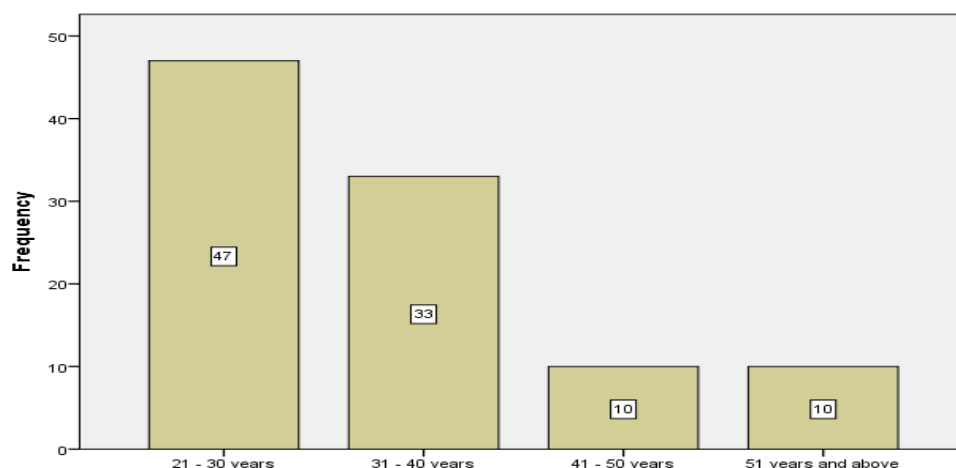
Respondent's age, they were classified into five groups; group one (up to 20 years), group two (21 – 30 years), group three (31 – 40), group four (41 - 50) and group five (51 and above). Figure 5.1- LGCSP shows that none of the respondents were between the ages of 1 – 20 years, 47% were ages from 21 – 30 years, 33% fall into the category of 31 – 40 years, 10% also fall into the 41 – 50 years, and the remaining 10% are ages more than 50 years. From figure 5.2 – OGCBP shows that 9.6% were ages from 21 – 30 years, 57.5% falls into the category of 31 – 40 years and 32.9% are aged between 41 – 50 years.

**Comparison Note:** 80% of respondents from LGCSP were between the ages of 21 – 40 years and 20% were between 41 years and above whilst OGCBP has 67.1% between the ages of 21



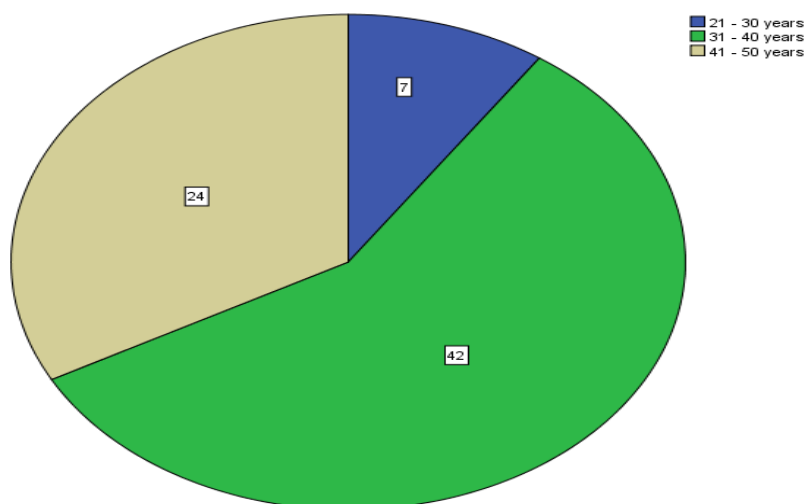
– 40 years and 32.9% were between 41 years and above. This data shows that participants for the capacity development project are young employees with very little experience, (see Table 5.1).

**Figure 5-1 LGCSP: The age group of the respondents**



Source: Data Analysis

**Figure 5-2 OGCBP: The age group of the respondents**



Source: Data Analysis

**Table 5-1 LGCSP/OGCBP: Combined age of the respondents for both Projects**

Age	21 - 30	31 - 40	41 - 50	50 and above
Percentage (%)	28.30%	45.27%	21.44%	5%

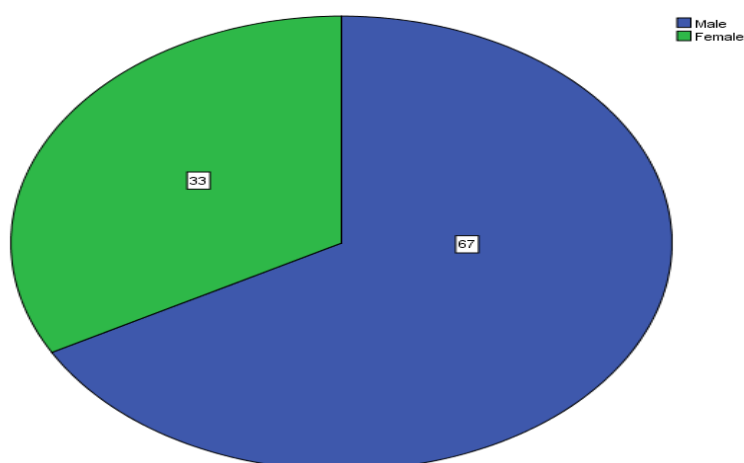
Source: Data Analysis

### 5.3.1.2 Gender

Respondents were categorized based on their gender – male and female. Figure 5.3 - LGCSP shows that 67% of respondents were male and 33% were also female. This result depicts that the Municipal and Metropolitan Assembly are predominately males; however, according to the GSS (2016) the 2010 population census has female 51.24% and male as 48.76%. The urban population of Ghana was at 50.88%, this is where most the Metropolitan and Municipal Assembly – MMA operates. Figure 5.4 – OGCBP shows that 58.90% of respondents were predominately male and 41.10% were female.

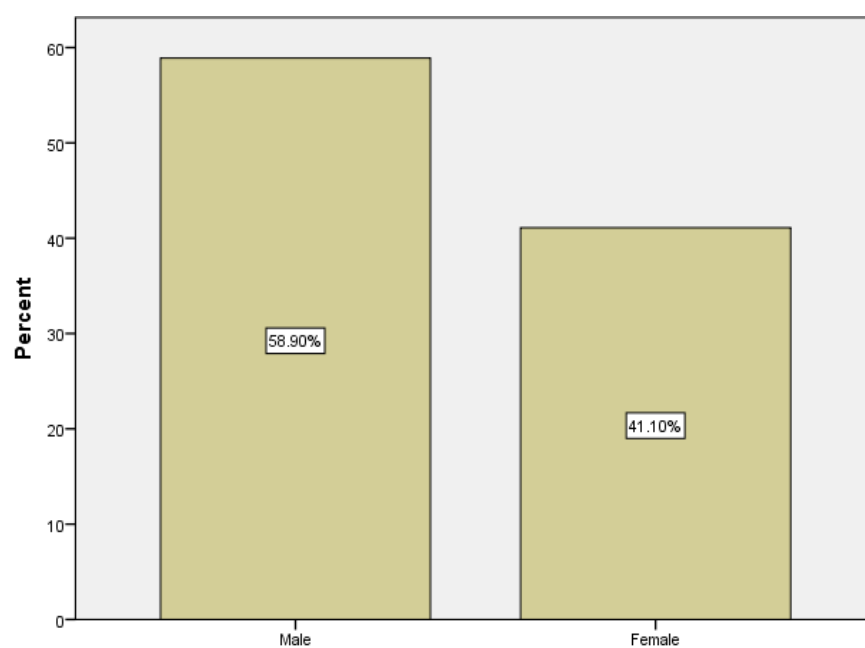
**Comparison Note:** LGCSP 67% sample was male and 33% female whilst OGCBP has 58.90% male and 41.10% female, see table 5.2.

**Figure 5-3 LGCSP: Gender of respondents**



Source: Data Analysis

**Figure 5-4 OGCBP: Gender of respondents**



Source: Data Analysis

**Table 5-2 LGCSP/OGCBP: Combined data on gender for the projects**

Gender	Male	Female
Percentage (%)	62.95	37.05

Source: Data Analysis

**Table 5-3 LGCSP/OGCBP: Combined Cross-tabulation for both projects of respondent's age and gender**

		Gender of Respondents		Total
		Male	Female	
Age of Respondents	21 - 30 years	Count	54.7%	45.30%
		% within Age of Respondents		100.0%
	31 - 40 years	Count	61.55%	38.45%
		% within Age of Respondents		100.0%
	41 - 50 years	Count	70.35%	29.65%
		% within Age of Respondents		100.0%
	51 years and above	Count	61.9%	39.1%
		% within Age of Respondents		100.0%
Total		Count	62.95%	37.05%
		% within Age of Respondents		100.0%

Source: Data Analysis

Table 5.3 – LGCSP/OGCBP shows the cross-tabulation for both projects of respondent's age and gender. This depicts the distribution of male and female with the project across the various age ranks for this research.

### 5.3.1.3 Education

The educational level of the respondents was divided into four categories comprising: No formal education, primary, secondary and tertiary, from the sample 1% had secondary

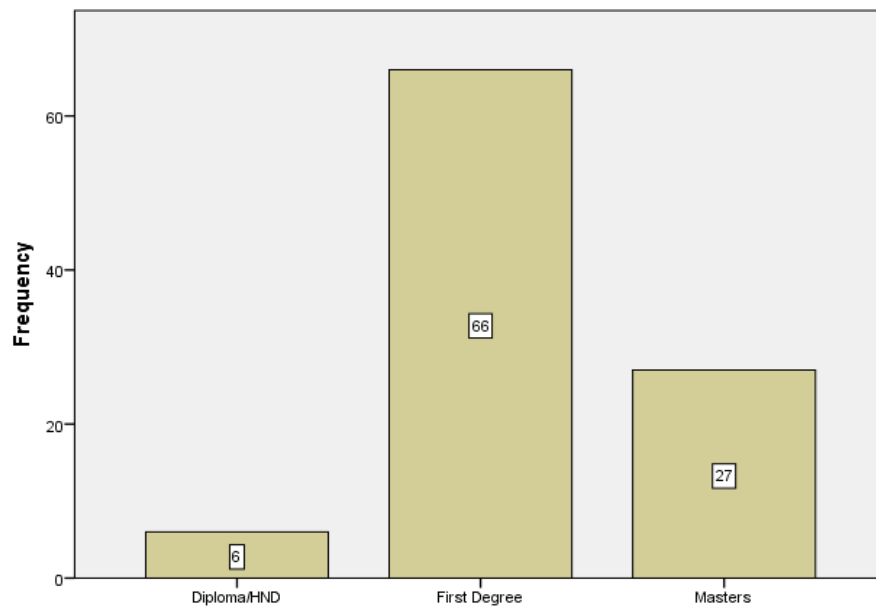
education and 99% had tertiary education. The tertiary category was also divided into four: Diploma/HND, first degree, masters and doctoral. Figure 5.5 - LGCSP shows that 6% of sample has the highest level of educational qualification are 'Diploma/HND, for 66% from the sample the highest level of educational qualification is first degree, for another 27% from the sample the highest level of educational qualification is Masters and none of the sample had achieved Doctorate level.

The project OGCBP, all respondents had tertiary education. Figure 5.6 – OGCBP shows that 1.37% from the sample has the highest level of educational qualification as first degree, 93.15% had masters and 5.48% had doctoral education.

According to Analoui (2007, p. 189) education is viewed as long term, broad and mainly knowledge based which prepares the individual for further specialization in the form of training or any other development programme. In many instances the provision of opportunity for further education is used strategically to ensure that valuable human resources are retained.

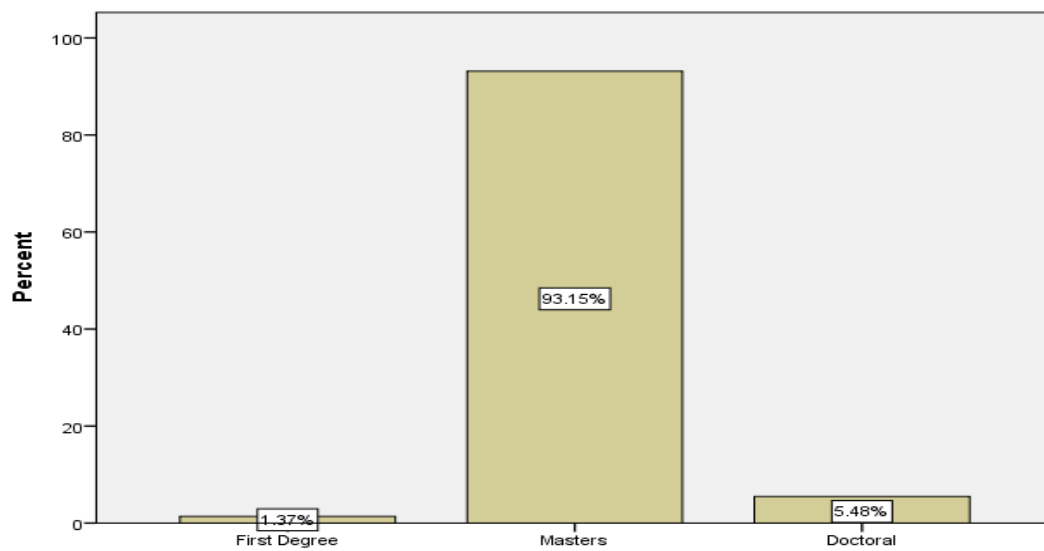
**Comparison Note:** LGCSP, 99% has tertiary education whilst OGCBP 100% sample has tertiary education. Categorising the tertiary education, LGCSP 72% of sample has Diploma/HND and first degree and 27% had masters whilst OGCBP, 1.37% of sample has first degree, 93.15% has masters and 5.48% has doctoral education.

**Figure 5-5 LGCSP: the education level of the respondents**



Source: Data Analysis

**Figure 5-6 OGCBP: the educational level of the respondents**



Source: Data Analysis

### 5.3.1.4 Experience in Capacity Development

Despite the different educational levels, respondents were asked to indicate whether or not they have had any experience in capacity development project or programme.

As Figure 5.7 - LGCSP shows, 84% from samples had experience in CD, and 16% from the samples not had any CD experience. In order to explore respondent's experience, the researcher asked the sample respondents of their previous experience in CD. Figure 5.8 – OGCBP shows that 80.82% had experience in CD, and 19.18% had no experience in CD. The respondents were categorized into five groups; up 5 years, 6 – 11 years, 12 – 17 years, 18 – 22 years and finally 23 years and above.

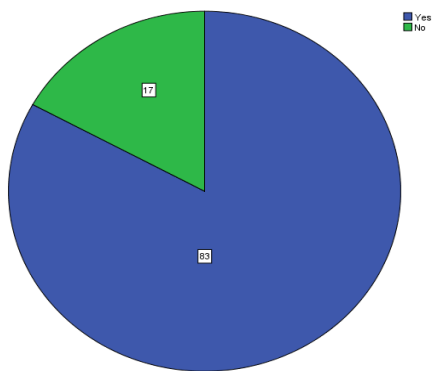
**Comparison Note:** LGCSP, 84% of sample has had CD experience and 16% had no CD experience. Those 84% sample who had CD experience, 69% had experience from 1 – 11 year, 14% had 12 – 22% years and 1% had 23 and above years of experience. OGCBP, 80.82% of sample who has experience in CD and 19.18% has no experience in CD. The 80.82% sample that had experience in CD, their length of experience was categorised. 96.67% had 1 – 11 years, 1.67% had 12 – 17 years and 1.66% had 23 and above years of experience. See table 5.4

**Table 5-4 LGCSP/OGCB: Respondent's experience in Capacity Development for both Projects**

Capacity Development	Experience	No Experience
Percentage (%)	82.41	17.59

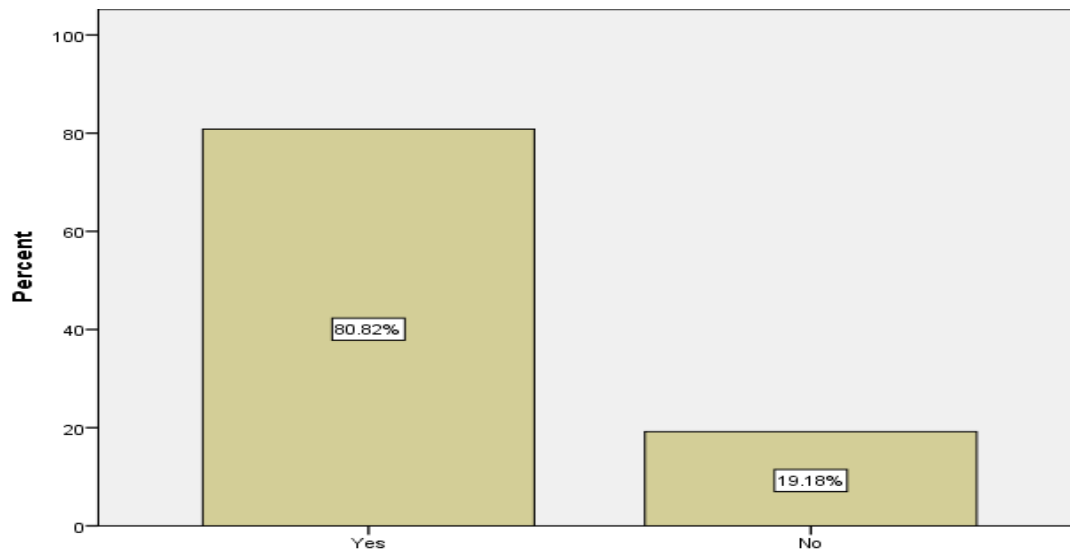
Source: Data Analysis

**Figure 5-7 LGCSP: CD Experience**



Source: Data Analysis

**Figure 5-8 OGCBP: CD experience**

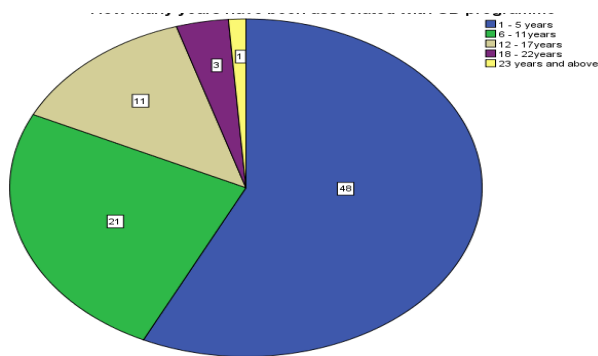


Source: Data Analysis

Figure 5.9 LGCSP shows that 48% of respondents have 1 – 5 years previous experience in CD, 21% had 6 – 11 years previous experience, 11% had 12 – 17 years previous experience, 3% had 18 – 22 years of previous experience and 1% has 23 and above experience, whilst in the figure 5.10 OGCBP shows that 75% of respondents have had 1 -5 years previous experience in CD, 21.67% had 6 – 11 years of experience, 1.67% had 12 – 17 years and 1.67% had 23 and above years in CD

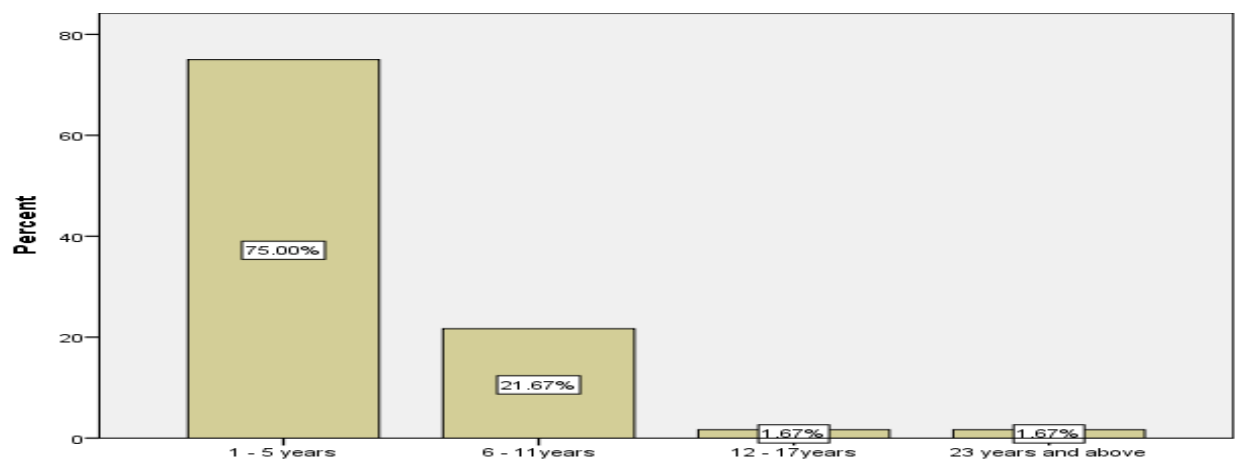


**Figure 5-9 LGCSP: Previous CD experience**



Source: Data Analysis

**Figure 5-10 OGCBP: Previous CD experience**



Source: Data Analysis

**Table 5-5– LGCSP/OGCBP: ANOVA test age and experience for both projects.  $\alpha = 0.05$**

Age of Respondents

	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	3.723	1	3.723	3.986	.299
Within Groups	117.428	171	.687		
Total	121.151	172			

Critical value of at df " 1,171" and significance level 0.05 equal 1.645

Source: Data Analysis

**Table 5-6– LGCSP: Cross-tabulation age of respondents and years of experience**

			How many years have been associated with CD programme					Total
			1 - 5 years	6 - 11years	12 - 17years	18 - 22years	23 years and above	
Age of Respondents	21 - 30 years	Count	41	5	1	0	0	47
		% within Age of Respondents	87.2%	10.6%	2.1%	0.0%	0.0%	100.0%
	31 - 40 years	Count	21	9	2	0	1	33
		% within Age of Respondents	63.6%	27.3%	6.1%	0.0%	3.0%	100.0%
	41 - 50 years	Count	2	6	2	0	0	10
		% within Age of Respondents	20.0%	60.0%	20.0%	0.0%	0.0%	100.0%
	51 years and above	Count	0	1	6	3	0	10
		% within Age of Respondents	0.0%	10.0%	60.0%	30.0%	0.0%	100.0%
Total		Count	64	21	11	3	1	100
		% within Age of Respondents	64.0%	21.0%	11.0%	3.0%	1.0%	100.0%

Source: Data Analysis

In order to determine age of respondents and experience of CD, the researcher measured the experience of the respondents to their ages. Table 5.6 - LGCSP shows that respondents between the ages of 21 – 30 year; 87.2% had 1 – 5years, 6 – 11 years; 10.6% had 12 – 17 year had 2.1% and the other age range do not any experience. Respondents between 31 – 40 years; 63.6% had 1 – 5 year, 27.3% had 6 – 11 year, 6.1% had 12 –

17 year and 3.0% had 23 year and above. Respondents between 41 – 50 years; 20% had 1 -5 years, 60% had 6 – 11 year and 20% had 12 – 17 year experience. Respondents above 51 years; 10% had 6 – 11year, 60% had 12 – 17 year and 30% had 18 – 22 year experience.

**Table 5-7 OGCBP: Cross-tabulation age of respondents and years of experience**

			How many years have been associated with CD programme				Total
			1 - 5 years	6 - 11years	12 - 17years	23 years and above	
Age of Respondents	21 - 30 years	Count	3	1	0	0	4
		% within Age of Respondents	75.0%	25.0%	0.0%	0.0%	100.0%
	31 - 40 years	Count	30	7	1	0	38
		% within Age of Respondents	78.9%	18.4%	2.6%	0.0%	100.0%

41 - 50 years	Count	12	5	0	1	18
	% within Age of Respondents	66.7%	27.8%	0.0%	5.6%	100.0%
Total	Count	45	13	1	1	60
	% within Age of Respondents	75.0%	21.7%	1.7%	1.7%	100.0%

Source: Data Analysis

Table 5.7 – OGCSP shows that respondents between the ages of 21 – 30 year; 75% had 1 – 5years and 25% had 6 – 11 year experience. Respondents between 31 – 40 years; 78.9% had 1 – 5 years, 18.4% had 6 – 11 years and 2.6% had 12 – 17 year experience. Respondents between 41 – 50 years; 66.7% had 1 – 5 years, 27.8% had 6 – 11 years and 5.6% had 23 and above year experience.

**Comparison Note:** LGCSPP, the cross-tabulation between age and years of experience, 82.1% of sample had 1 – 11 years of experience, 16.7% has 12 – 22 years of experience and 1.2% has 23 and above years of experience whilst OGCBP, 96.7% has 1 – 11 years of experience, 1.7% has 12 – 17 years and 1.7% has 23 and above years of experience. To test the hypothesis we use the one way ANOVA and the finding as illustrated

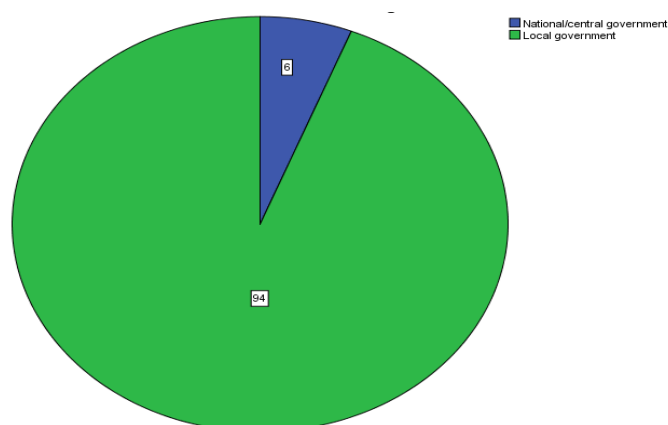
in Table 5.5 LGCSP/OGCBP shows that the p-value equal 0.299 which is greater than 0.05 and the F test equal 3.986 which is greater than the value of critical which is 1.645. that's means there is a difference between age and experience at significant level  $\alpha = 0.05$  due to age.

### 5.3.1.5 The type of Organisation

In order to explore the type of organisation or institution respondents work in, the organisation/institutions was categorized into research/university institution, NGO, Media, Private sector, National/Central government, Regional government, Local government and others. Figure 5.11 - LGCSP shows that 6% of respondents are employed in National/Central government and 94% are employed by local government. Figure 5.12 – OGCBP shows that 13.70% of respondents are employed in University/research institution, 65.75% are employed in national/central government and 20.55% are employed by other institutions. From the questionnaire, respondents indicate that the others were regulatory intuitions.

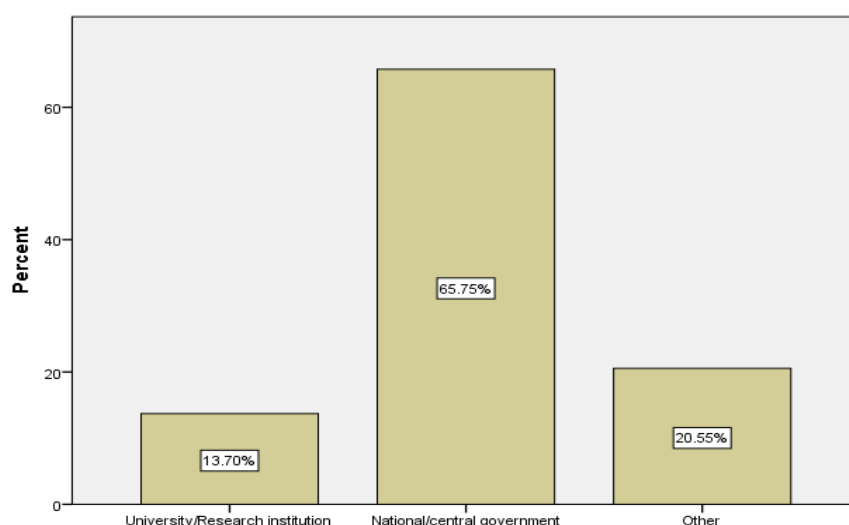
Comparison Note: LGCSP, 6% of sample were employed with National/Central government and 94% were employed with the local services department whilst OGCBP, 13.70% of sample were employed with University/Research institutions, 65.75% were employed with National/central government and 20.55% were employed with other institutions which were oil/gas regulatory institutions.

**Figure 5-11 LGCSP: Organisation Types**



Source: Data Analysis

**Figure 5-12 OGCSP: Organisation type**



Source: Data Analysis

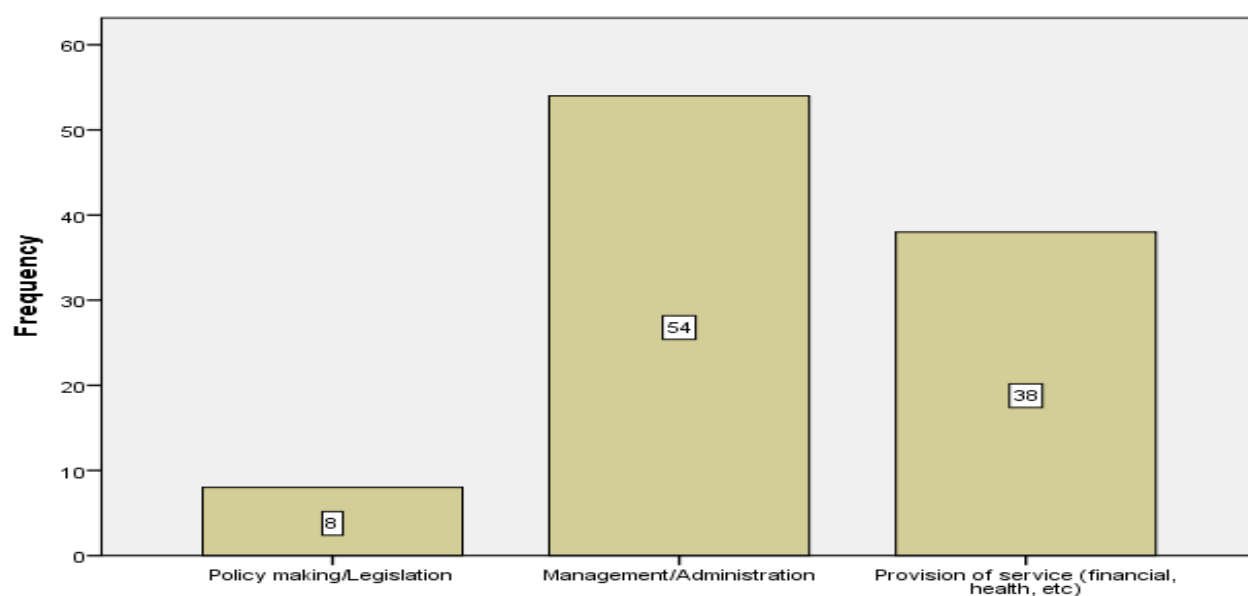
### **5.3.1.6 Functions of Organisation**

In order to investigate the functions of organisations, respondents were asked to indicate one of the following categories: Research/teaching, Policy making/legislation, Management/administration, Provision of services (financial and health) and other. Figure 5.13 – LGCSP shows that 8% of respondents' organisation provides policy making/legislation, 54% of provide management/administration and finally 38% provide services such as financial, health and many others. Figure 5.14 – OGCBP shows that 13.7% of respondents' organisation functions as research/teaching, 10.96% is policy making/legislation, 8.22% are management/administrative, 24.66% are provision of services (financial, health) and 42.47% provides other functions. The other functions are environmental protection agency and regulate and manage the utilisation of petroleum resource and co-ordinate policies in relation to them.

**Comparison Note:** LGCSP, 8% of samples were from organisations that function as policy making/legislation, 54% provide management/administration and 38% provide services whilst OGCBP, 13.7% of sample provide research/teaching, 10.96% are policy

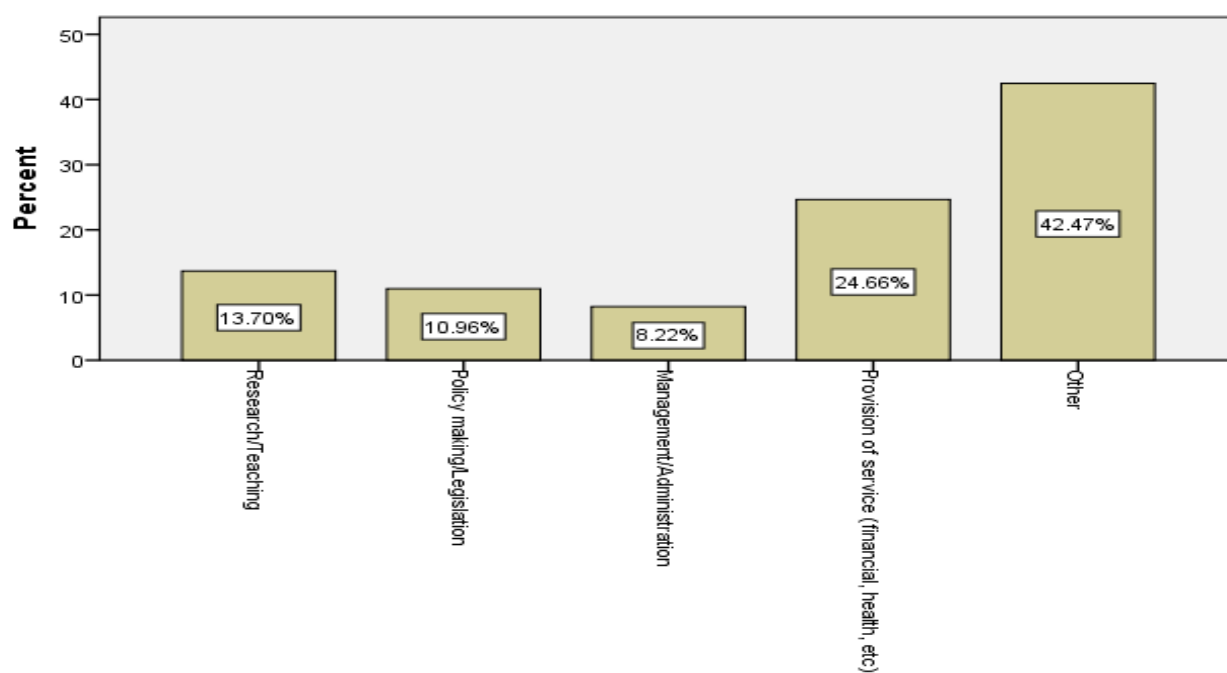
making/legislation, 8.22% are management/administration, 24.66% provide services like financial, health and 42.47% provides other functions.

**Figure 5-13 LGCSP: Functions of respondent's Organisation**



Source: Data Analysis

**Figure 5-14 OGCBP: Function of respondent's Organisation**



Source: Data Analysis



## 5.4 Section two: Organisational Effectiveness

In order to explore the capacity needs of the sampled organisations/institutions, respondents were asked to rate the effectiveness of the organisation/institution in achieving their set goals. As argue by many international agencies especially UNDP (2008) and World Bank (2010) the achievement of M/SDGs and other international/national development goals hinges on capacities of individuals, organisations and societies to transform, in order to reach their development objectives. Capacities is one of the cardinal issues for most developing countries, without supportive strategies, policies, laws and procedures, well-functioning organisations and educated and skilled people, countries lack the foundation needed to plan, implement and review their development strategies.

- **Rate the effectiveness of your organisation**

To investigate the effectiveness of the sampled organisation, respondents were asked to select from a scale 1 – 5, 1 means none, 2 means little, 3 means average, 4 means high and 5 means very high. Table 5.15 - LGCSP shows that 1% of the organisation is perceived by the respondents as being little effectiveness, 42% had average effectiveness, 49% had high effectiveness and 8% had very high effectiveness. Figure 5.16 – OGCBP shows that 1.37% of the respondents indicated their organisation is little in effectiveness, 42.47% average, 47.95% high and 8.22% very high.

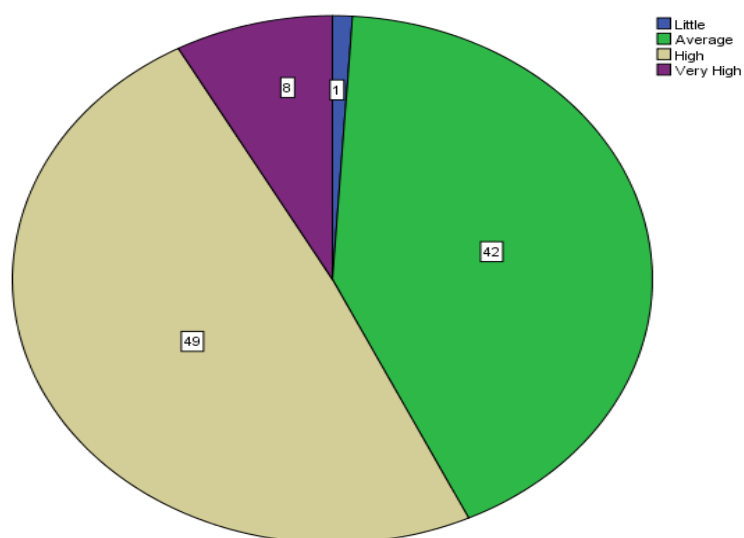
**Comparison Note:** LGCSP, 1% of sample indicates that their organisation has little in effectiveness, 42% indicate average effectiveness and 57% indicate their organisation is effective whilst OGCBP, 1.37% of sample indicated that their organisation is little in effectiveness, 42.47% indicate average and 56.17% indicate effective. Table 5.8 LGCSP/OGCBP shows that 56.58% view their organisations as highly effective, 42.23% view their organisations as average and 1.19% says their organisation is low.

**Table 5-8– LGCSP/OGCBP: The rate of effectiveness of sampled organisations for both projects**

Ranking	Low	Average	High
Percentage (%)	1.19%	42.23%	56.58%

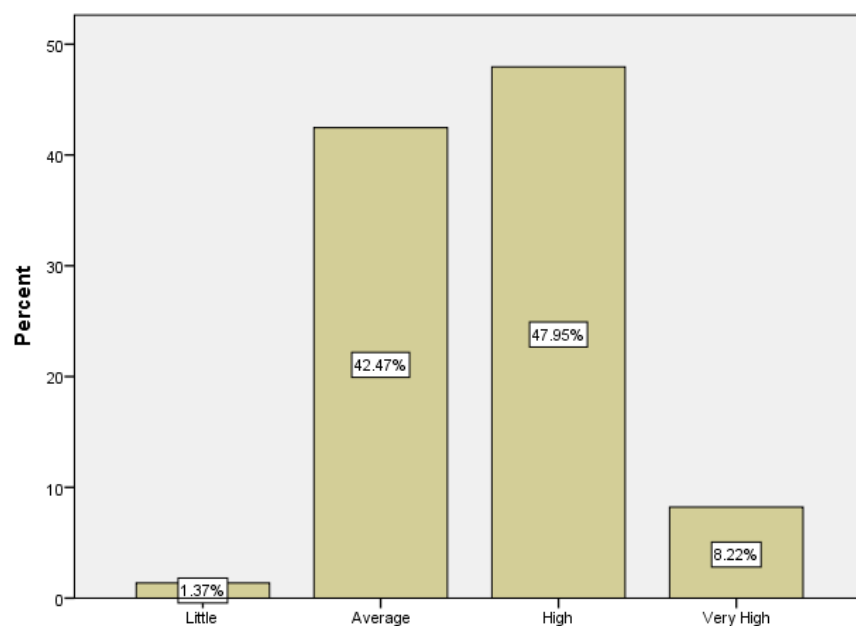
Source: Data Analysis

**Figure 5-15 LGCSP: Rate the effectiveness of your organisation**



Source: Data Analysis

**Figure 5-16 OGCBP: Rate the effectiveness of your organisation**



Source: Data Analysis

- **Does your organisation have clear overall strategy/vision/mission/values?**

Table 5.9 – LGCSP Shows that 99% of respondents agree that their organisation have clear strategy/vision/mission/values and 1% data missing. Table 5.10 – OGCBP shows all respondents indicate that their organisation/institution has clear strategy/vision/mission/values.

**Comparison Note:** LGCSP, 99% of sample indicate that their organisation has clear strategy/vision/mission/values whilst OGCBP, the entire sample indicate that their organisation has clear strategy/vision/mission/values.

**Table 5-9 LGCSP: Organisation has a clear overall strategy/vision/mission/value**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes	99	99.0	100.0	100.0
Missing System	1	1.0		
Total	100	100.0		

Source: Data Analysis

**Table 5-10 OGCBP: Organisation has a clear overall strategy/vision/mission/value?**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes	73	100.0	100.0	100.0

Source: Data Analysis

- If “Yes” rate the extent to which these strategy/vision/mission/values changed the work of the organisation?

Table 5.11 - LGCSP shows that 4% of sample rate that the strategy/vision/mission/values has little impact on the organisation, 31% has average impact, 46% has high impact and 19% very high impact. Table 5.12 – OGCSF shows that 5.5% of sample rate that the strategy/vision/mission/values has little impact on the organisation, 47.9% has average impact, 24.7% has high impact, 20.5% has very high impact and 1.4% do not know.

**Comparison Note:** LGCSP, 4% of sample indicate their organisation strategy/vision/mission/values has little impact, 31% indicate average and 65% indicate high impact whilst OGCBP, 5.5% of sample indicate that their strategy/vision/mission/values has little impact on their organisation’s drive to achieve their aims, 47.9% indicate average, 45.2% indicate high impact and 1.4% do not know.

**Table 5-11 LGCSP: The extent to which this strategy drives the work of the Organisation**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Little	4	4.0	4.0	4.0
Average	31	31.0	31.0	35.0
High	46	46.0	46.0	81.0
Very High	19	19.0	19.0	100.0
Total	100	100.0	100.0	

Source: Data Analysis

**Table 5-12 OGCSP: The extent to which this strategy drives the work of the Organisation**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Little	4	5.5	5.5	5.5
Average	35	47.9	47.9	53.4
High	18	24.7	24.7	78.1
Very High	15	20.5	20.5	98.6
Do not Know	1	1.4	1.4	100.0
Total	73	100.0	100.0	

Source: Data Analysis

- **Rate the extent to which staffs of your organisation work efficiently across teams.**

In order to explore how organisation's staff work as a team to achieve organisational goals, respondents were asked to rate their organisation on the scale of 1 – 5.

Smith (2001) puts it organisational landscape is made by small groups and teams. All organisations are utilizing work groups, task force, blue ribbon commissions and panels, and various types of teams and support groups to accomplish their missions and objectives. Groups are being implemented at all hierarchical levels and have assumed many roles and responsibilities central to the functioning of these organisations. Team and group work has become prevalent in today's organisation.

Table 5.14 – LGCSP shows that 10% respondents say their staff work little as a team, 33% respondents had average, 38% high and 19% very high. Table 5.15 – OGCBP shows that

1.4% sample indicate that workers do not work as team members, 4.1% little, 47.9% average, 35.6% high and 11.0% very high.

**Comparison Note:** LGCSP, 10% of sample indicates they work little as a team, 33% indicate average and 57% indicate high whilst OGCBP, 1.4% of sample indicate their organisation does not work as a team, 4.1% little, 47.9% average and 46.6% indicate high. See table 5-13

**Table 5-13 LGCSP/OGCBP: Staffs working as a team for both project**

Ranking	Low	Average	High
Percentage	7.75%	40.48%	51.8%

Source: Data Analysis

**Table 5-14 LGCSP: Staff of your Organisation work efficiently across teams**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Little	10	10.0	10.0	10.0
Average	33	33.0	33.0	43.0
High	38	38.0	38.0	81.0
Very High	19	19.0	19.0	100.0
Total	100	100.0	100.0	

Source: Data Analysis

**Table 5-15 OGCBP: Staff of your Organisation work efficiently across teams**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid None	1	1.4	1.4	1.4
Little	3	4.1	4.1	5.5
Average	35	47.9	47.9	53.4
High	26	35.6	35.6	89.0
Very High	8	11.0	11.0	100.0
Total	73	100.0	100.0	

Source: Data Analysis

- **To what extent are staffs involved in decision-making process?**

Table 5.17 - LGCSP shows that 19% of sample staffs have little influence in decision-making process, 38% average, 38% high and 5% very high. Table 5.18 - OGCSBP shows that 4.1% of sample staffs have little influence in decision-making process, 54.8% average, 32.9% high and 8.2% very high.

**Comparison Note:** LGCSP, with decision-making process 19% of sample indicate that they have little influence, 38% average and 43% indicate high whilst with OGCBP 4.1% indicate little influence, 54.8% indicate average and 41.1% indicate high influence in decision-making. See table 5. 16

**Table 5-16 LGCSP/OGCBP: Staffs involved in decision-making process for both projects**

<b>Ranking</b>	<b>Low</b>	<b>Average</b>	<b>High</b>
Percentage	11.55%	46.4%	42.05%

Source: Data Analysis

**Table 5-17 LGCSP: Staff involved in decision-making process**

	<b>Frequency</b>	<b>Percent</b>	<b>Valid Percent</b>	<b>Cumulative Percent</b>
Valid Little	19	19.0	19.0	19.0
Average	38	38.0	38.0	57.0
High	38	38.0	38.0	95.0
Very High	5	5.0	5.0	100.0
Total	100	100.0	100.0	

Source: Data Analysis

**Table 5-18 OGCBP: Staff involved in decision-making process**

	<b>Frequency</b>	<b>Percent</b>	<b>Valid Percent</b>	<b>Cumulative Percent</b>
Valid Little	3	4.1	4.1	4.1
Average	40	54.8	54.8	58.9
High	24	32.9	32.9	91.8
Very High	6	8.2	8.2	100.0
Total	73	100.0	100.0	

Source: Data Analysis

- **Does your organisation have legal status?**

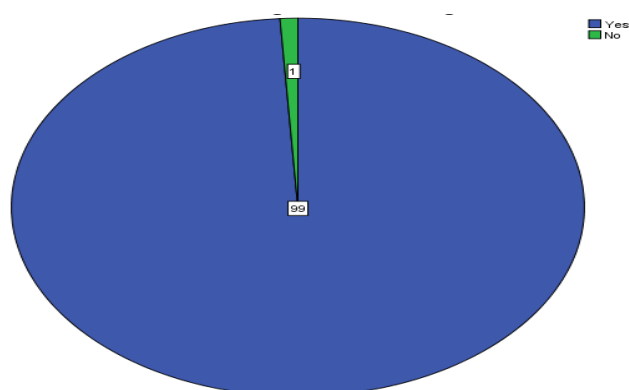
In order to explore the legal status of the sample organisations, respondents were asked to determine if their organisation has legal status to operate or not. Figure 5.17 - LGCSP shows



that 99% from the respondents have legal status and 1% had no legal status. 100% respondents of project OGCBP indicate that their organisation is legally registered.

Comparison Note: LGCSP, 99% of sample indicates that their organisation has legal status to operate whilst OGCBP 100% indicate their organisation operate with license.

**Figure 5-17 LGCSP: Legal status of the organisations**



Source: Data Analysis

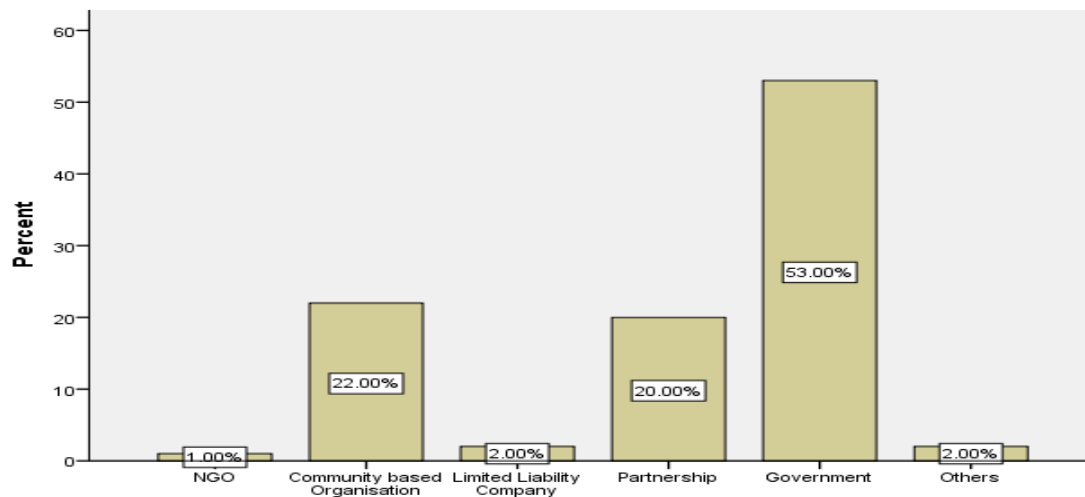
- **Which of the following legal forms best describes your organisation?**

To explore the main legal forms of the organisation, respondents were asked to indicate whether their organisation is an NGO, Community based organisation, Limited liability Company, Partnership, Government or others. Figure 5.18 – LGCSP shows that 1% of the sample organisation is an NGO, 22% is community based organisation, 2% limited liability Company, 20% indicate partnership, 53% indicate government and 2% other, and the other means respondents could not give specific. Figure 5.19 - OGCBP, 13.70% of sample indicates their organisation is a university/research institution, 65.75% also indicate that national/central government and 20.55% indicate other legal form and respondents were asked to specify and they were either a commission or a regulator.

**Comparison Note:** LGCSP, 23% of sample indicate their organisation is community based, 20% indicate partnership, 2% indicate Liability Company, 53% indicate government and 2%

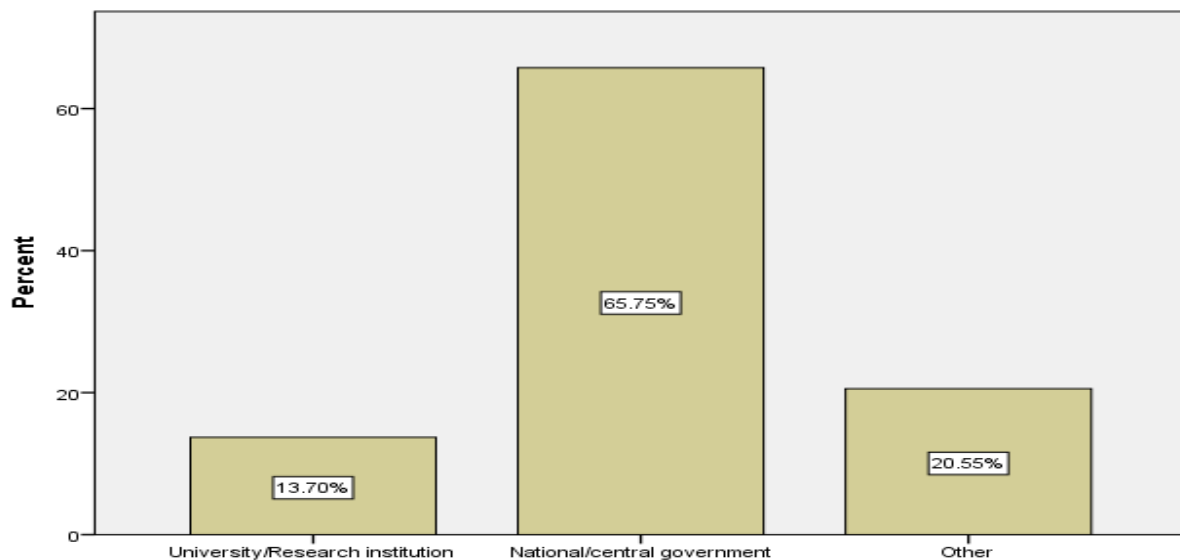
indicate other whilst OGCBP, 13.70% of sample indicate that their organisation is either university/research institution, 65.75% indicate national/central government and 20.55% indicate their organisation is either commission or regulator.

**Figure 5-18 LGCSP: Legal forms of Respondent's Organisation**



Source: Data Analysis

**Figure 5-19 OGCBP: Legal forms of Respondent Organisation**



Source: Data Analysis

- **Does your organisation have office premise?**

In order to explore whether participants organisation have a permanent office premises, and all participants in both projects (LGCSP and OGCBP) indicated that their organisation have a permanent office where all employees operate and also can be located.

- **Does your organisation provide you with the needed support/logistics to function?**

Table 5.20 - LGCSP show that 94.45% of respondents indicate that organisation provide them with the need support and logistics to function and 5.05% respondents indicate they do not receive such support or logistics to function. Table 5.21 – OGCBP shows that 95.9% sample indicate that they receive the needed support/logistics to function and 4.1% indicate they do not receive such support to function.

**Comparison Note:** LGCSP, 93% of sample provide that they organisation supply the need logistics to function and 6% indicate their organisation do not supply the logistics to function whilst OGCBP, 95.9% of sample indicate that their organisation provides them with the needed support and 4.1% also indicate they do not receive such support. See table 5.19 LGCSP/OGCBP

**Table 5-19– LGCSP/OGCBP: Support for staffs to function for both projects**

Ranking	Yes	No
Percentage (%)	94.45	5.05

Source: Data Analysis

**Table 5-20 LGCSP: Organisation provides you with the needed support/logistics to function**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes	93	93.0	93.9	93.9
No	6	6.0	6.1	100.0
Total	99	99.0	100.0	
MissingSystem	1	1.0		
Total	100	100.0		

Source: Data Analysis

**Table 5-21– OGCBP: Organisation provides you with the needed support/logistics to function?**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes	70	95.9	95.9	95.9
No	3	4.1	4.1	100.0
Total	73	100.0	100.0	

Source: Data Analysis

## 5.5 Section three – Management Practice

In order to explore the requirement of sampled organisation to what extent to which they require CD programme, the researcher gave a twenty-three list of management practices to indicate the extent to which their organisation require such training. The scale was 1 – 6, where 1 indicates none, 2 little, 3 averages, 4 high, 5 very high and 6 do not know.

CD is the ‘how’ of making development work better and is, in essence, about making institutions better able to deliver and promote human development. Developing countries

lacks the capacity to plan, manage, implement and initiate development programmes. CD is initiated based on widely acknowledged shortcomings in development assistance over the past five decades (UNDP, 2008).

Ng (2011) defines management as getting things done effectively through people to achieve the desired objective. This requires a combination of factors such as leadership, communication and people skills. However, the importance of effective management development is brought about regularity and intensity of change at the organisational level. Perhaps organisations face the challenge of leadership and change. The management of change and development of managers are both seen as crucial aspect of effective and well-functioning organisations (Shanley, 2007).

Table 5.22 – LGCSP and Table 5.23 - OGCBP show the management practices and respondents were asked to indicate the level of requirement to help the organisation achieve its set objectives. Category, to make the analysis simpler, none and little were grouped as little, and high and very high were merged as very high.

**Comparison Note:** LGCSP, 8.7% of sample indicate that their organisation requirement of managerial practice were little, 24.8% indicate that the requirements were average, 65.1% indicate very high and 1.4% are these indicated do not know whilst OGCBP, 7.3% of sample indicate little, 28.7% indicate average, 63% indicate very high and 1% indicate do not know. See table 5.24

**Table 5-22 – LGCSP: Management Practices**

Management Practices	None	Little	Average	High	Very High	Do not Know
Information System/Technology	-	5.0%	24.0%	35.0%	36.0%	-
Administrative	-	5%	20%	54.0%	21.0%	-
Personnel	1%	5%	21%	45%	27%	1%
Planning	-	5%	27%	38%	30%	-
Programme Development	1%	8%	19%	33%	39%	-
Programme Reporting	1%	9%	22%	40%	27%	1%
Human Resource Development	3%	7%	18%	45%	24%	3%
Staff Recruitment	3%	18%	29%	32%	15%	3%
Supervisory (Roles/Responsibilities)	1%	12%	18%	39%	30%	-
Skills and Experience of Staff	1%	7%	26%	37%	29%	-
Financial Planning/Budgeting	1%	7%	24%	29%	36%	3%
Funding Approach/Raising/Development	4%	5%	21%	37%	31%	2%
Communication Plan	3%	9%	20%	42%	24%	2%

Collaboration with NGOs/Organisations/Donors	2%	5%	26%	39%	25%	3%
Government Relationship	2%	12%	22%	38%	25%	1%
Media Collaboration	2%	10%	27%	37%	22%	2%
Programme Design	3%	4%	28%	40%	25%	-
Performance Evaluation/Impact	2%	4%	26%	46%	21%	1%
Programme Relevance	-	4%	33%	37%	26%	-
Monitoring of Environment	1%	4%	24%	40%	29%	2%
New Programme Development	1%	6%	19%	47%	25%	2%
Organisational Capacity for Campaign/Advocacy at the national level	-	9%	34%	38%	17%	2%
Campaign Planning	-	9%	43%	27%	16%	5%
TOTAL	1.4%	7.3%	24.8%	39%	26.1%	1.4%

Source: Data Analysis

**Table 5-23– OGCBP: Management Practices**

Management Practice	None	Little	Average	High	Very High	Do not know
Information System/Technology	2.7%	9.6%	26.0%	27.4%	34.2%	-
Administrative	2.7%	15.1%	17.8%	46.6%	17.8%	-
Personnel	1.4%	8.2%	26.0%	41.1%	21.9%	1.4%
Planning	1.4%	15.1%	21.9%	45.2%	15.1%	1.4%
Programme Development	-	8.2%	28.8%	45.2%	17.8%	-
Programme Reporting	-	6.8%	23.3%	43.8%	26.0%	-
Human Resource Development	1.4%	6.8%	27.4%	45.2%	19.2%	-
Staff Recruitment	1.4%	8.2%	31.5%	38.4%	17.8%	2.7%
Supervisory (Roles/Responsibilities)	-	5.5%	21.9%	54.8%	15.1%	2.7%
Skill and Experience of Staff	-	1.4%	21.9%	54.8%	21.9%	-
Financial Planning/Budgeting	-	4.1%	34.2%	50.7%	11.0%	-
Funding Approach/Raising/Development	1.4%	5.5%	31.5%	42.5%	17.8%	1.4%
Communications Plan	-	1.4%	31.5%	41.1%	26.0%	-



Collaboration with NGOs/Organisation/Donors	-	11.0%	24.7%	42.5%	21.9%	-
Government Relationships	-	4.1%	30.1%	42.5%	20.5%	2.7%
Media Collaboration	-	8.2%	26.0%	41.1%	20.5%	4.1%
Programme Design	-	6.8%	28.8%	47.9%	16.4%	-
Performance Evaluation/Impact	-	2.7%	30.1%	43.8%	23.3%	-
Programme Relevance	-	8.2%	31.5%	38.4%	20.5%	1.4%
Monitoring of Environment	-	8.2%	31.5%	41.1%	19.2%	-
New Programme Development	-	4.1%	31.5%	45.2%	15.1%	4.1%
Organisational Capacity for campaign/advocacy at the national level	-	4.1%	38.4%	52.1%	5.5%	-
Campaign Planning	-	2.7%	43.8%	47.9%	5.5%	-
TOTAL	0.54%	6.8%	28.7%	44.3%	18.7%	1.0%

Source: Data Analysis

**Table 5-24– LGCSP/OGCBP: Management Practices**

Ranking	Low	Average	High	Do not Know
Percentage (%)	8.02%	26.75%	64.05%	1.2%

Source: Data Analysis

## 5.6 Section four - Relevance of Capacity Development Programme

In order to investigate respondent's perception on the capacity development programme implemented by Local Government Secretariat and Ministry of Energy and Petroleum to determine its relevance on the people. The sample were asked a series of questions, however, each year donors spend more than \$20 million on CD activities. CD programmes has persistently fallen short of expectations, due to the fact that CD programmes are poorly grounded in theory and lack consistent conceptual framework (Otoo et al. 2009).

- **Does your organisation receive CD from the World Bank?**

Table 5.25 - LGCSP shows that 70% from the sample of organisation does receive CD programme from the World Bank, but 30% do not receive CD programme from the World Bank. OGBCP, 100% of sample indicate that their organisation receive CD programme from the World Bank.

**Table 5-25- LGCSP: Organisation receive Capacity Development programme from World Bank**

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes	70	70.0	70.0	70.0
No	30	30.0	30.0	100.0
Total	100	100.0	100.0	

Source: Data Analysis

- **If “Yes” how often do you receive such programme?**

Table 5.26 - LGCSP shows that the 70% of respondents that said yes, 41.4% indicate that they receive CD programme occasionally, 15.7% quarterly and 42.9% annually. Table 5.27 –

OGCBP show that 46.6% indicate that their organisation receive CD training from the World Bank occasionally, 12.3% quarterly and 41.1% annually.

**Comparison Note:** LGCSP, 41.4% of sample indicate receive CD programme from the World Bank occasionally, 15.7% indicate quarterly and 42.9% indicate annually whilst OGCBP, 46.6% indicate occasionally, 12.3% indicate quarterly and 41.1% indicate annually.

**Table 5-26 - LGCSP: How often do you receive such Programme**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Occasionally	29	29.0	41.4	41.4
	Quarterly	11	11.0	15.7	57.1
	Annually	30	30.0	42.9	100.0
	Total	70	70.0	100.0	

Source: Data Analysis

**Table 5-27 – OGCBP: How often do you receive such Programme**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Occasionally	34	46.6	46.6	46.6
	Quarterly	9	12.3	12.3	58.9
	Annually	30	41.1	41.1	100.0
	Total	73	100.0	100.0	

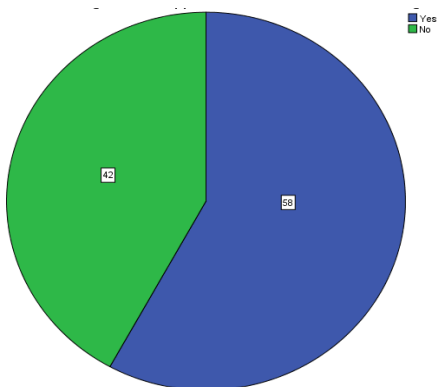
Source: Data Analysis

- **Has your organisation approached the World Bank for such programme?**

In order to explore the mode of selection for the CD programme, participants were asked to indicate whether their organisation approached the WB or not, Figure 5.20 - LGCSP shows that 58% indicate yes and 42% no. Figure 5.21 – OGCBP shows that 90.41% sample indicate yes and 9.59% indicate no.

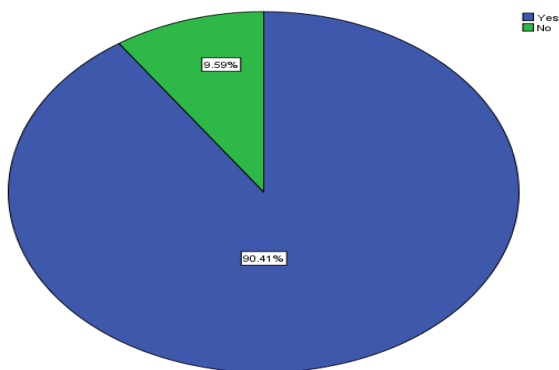
**Comparison Note:** LGCSP, 58% of the sample indicates that their organisation approached the WB for such programme and 42% indicate their organisation did not approach the WB whilst OGCBP, 90.41% of indicate that their organisation approached the WB and 9.59% indicate their organisation did not approach the WB.

**Figure 5-20 LGCSP: Mode of Approach**



Source: Data Analysis

**Figure 5-21 OGCBP: Mode of Approach**



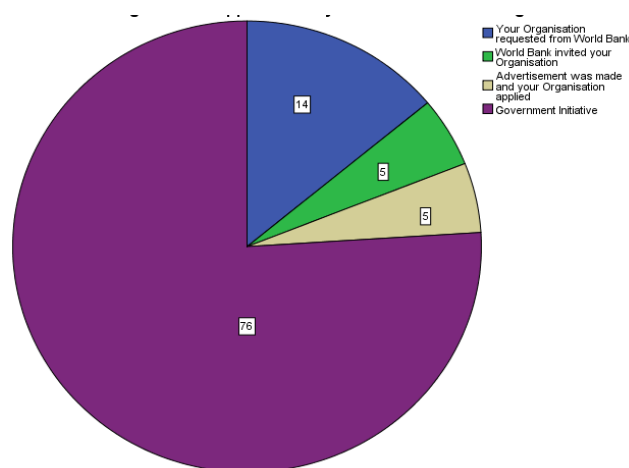
Source: Data Analysis

- **How was your organisation approached by the World Bank for the CD programme?**

Figure 5.22 - LGCSP shows that 76% sample indicate the CD was a government initiative, 14% their organisation approached the World Bank, 5% the World Bank invited their organisation and 5% advertisement was made and application made. Figure 5.23 – OGCBP shows that 54.79% of respondents indicate that the programme was government of Ghana's initiative, 21.92% their organisation approached the WB, 21.92% the WB invited their organisation and 1.37% advertisement was made and the organisation applied.

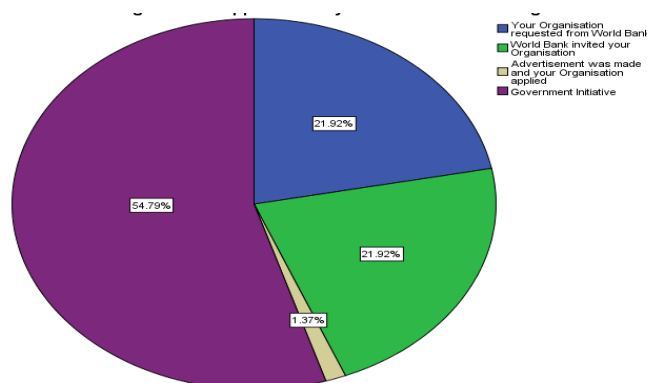
**Comparison Note:** LGCSP, 76% of sample indicate that the CD programme was government initiative, 14% indicate their organisation applied to the WB, 5% indicate WB invited their organisation and 5% indicate advertisement was made and application made whilst OGCBP, 54.79% of sample indicate the CD was government's initiative, 21.92% indicate their organisation approached the WB, 21.92% of sample indicate WB invited their organisation and 1.37% indicate advertisement was made and their organisation applied.

**Figure 5-22 GLCSP: Mode of Selection for CD Programme**



Source: Data Analysis

**Figure 5-23 OGCBP: Mode of Selection for CD Programme**



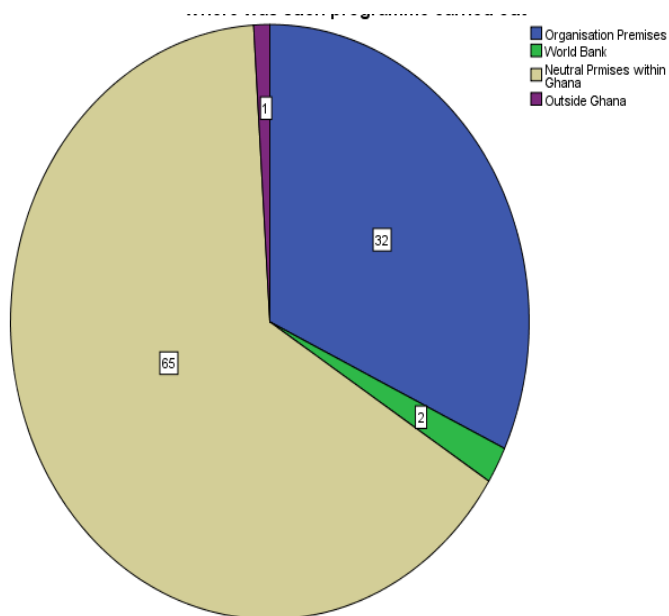
Source: Data Analysis

- **Where was such programme carried out?**

Figure 5.24 - LGCSP shows that 65% of the sample indicates that such programme was carried out at neutral premises within Ghana, 32% at their organisation premises, 2% at the World Bank premises and 1% outside Ghana. Figure 5.25 – OGCBP shows 41.10% indicate that the programme was carried out in a neutral premises within Ghana, 45.21% outside the country, 12.33% their organisation premises and 1.37% at the WB premises.

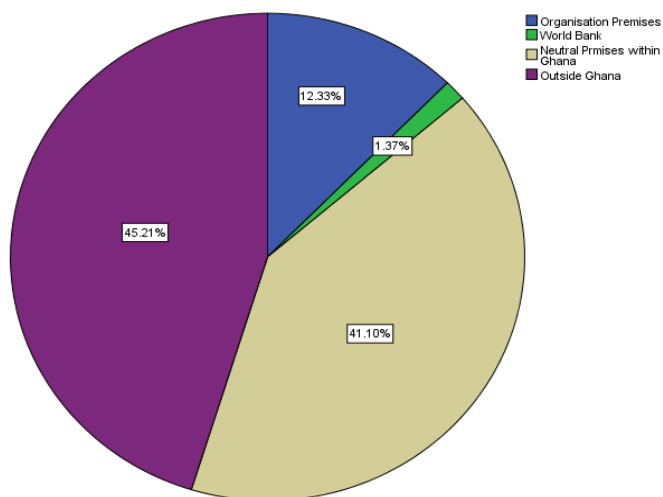
**Comparison Note:** LGCSP, 65% of respondents indicate the programme was carried at a neutral premises within Ghana, 32% of sample indicate at their organisation premises, 2% of sample indicate that WB premises and 1% of sample indicate the programme was held outside Ghana whilst OGCBP, 41.10% of sample indicate CD programme was held at a neutral premises in Ghana, 45% indicate outside Ghana, 12.33% indicate their premises and 1.37% indicate WB premises.

**Figure 5-24 LGCSP: Where CD Programme carried**



Source: Data Analysis

**Figure 5-25 OGCBP: Where CD Programme carried**



Source: Data Analysis

- **Who sponsored the programme?**

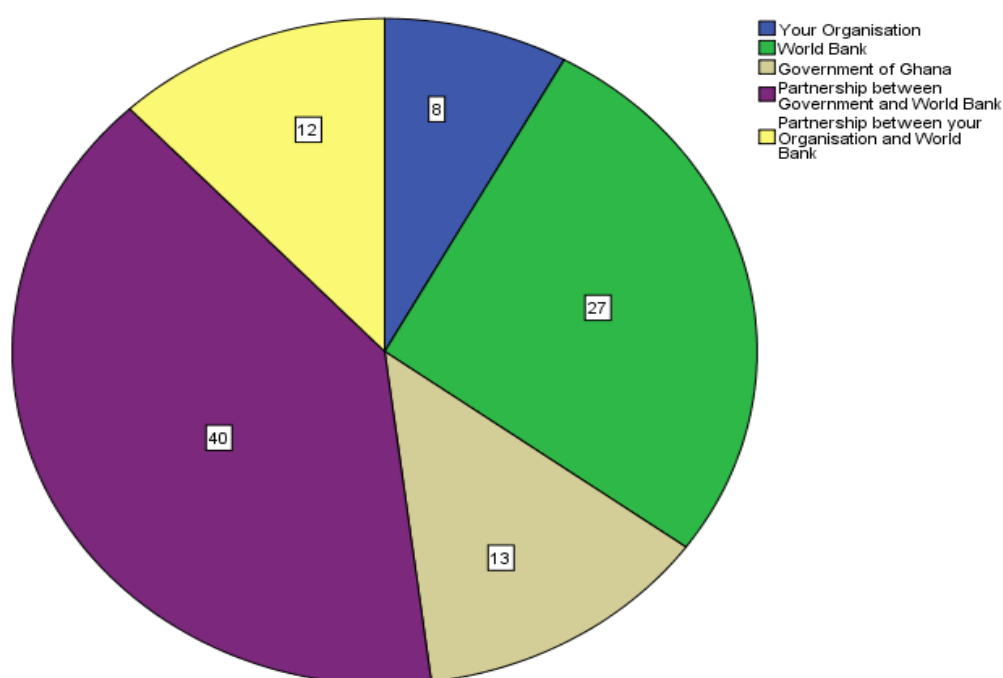
Figure 5.26 - LGCSP shows that 40% indicate the CD programme was sponsored by government of Ghana and World Bank, 27% the World Bank, 13% government of Ghana,

12% partnership between their organisation and World Bank and 8% their organisation.

Figure 5.27 – OGCBP shows that 64.38% indicate the programme was a partnership between Government of Ghana and the WB, 23% WB, 5.48% Government of Ghana, 4.11% partnership between their organisation and WB and 2.74% their organisation sponsored it.

**Comparison Note:** LGCSP, 40% of sample indicate the programme was sponsored by Ghana government and WB, 27% indicate WB, 13% indicate GoG, 12% indicate partnership between their organisation and WB, and 8% indicate their organisation whilst OGCBP, 64.38% of sample indicate the programme was a partnership between GoG and WB, 23% indicate WB, 5.48% indicate GoG, 4.11% indicate partnership between their organisation and WB and 2.74% indicate their organisation.

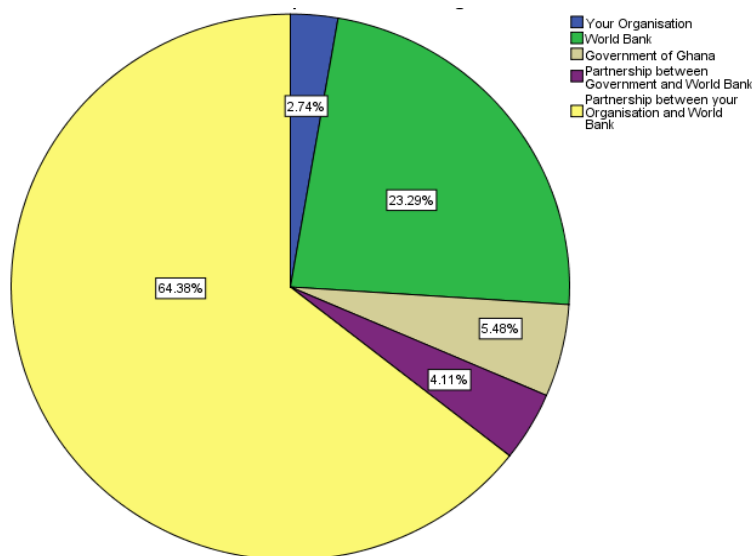
**Figure 5-26 LGCSP: Programme Sponsors**



Source: Data Analysis



**Figure 5-27– OGCBP: Programme Sponsors**



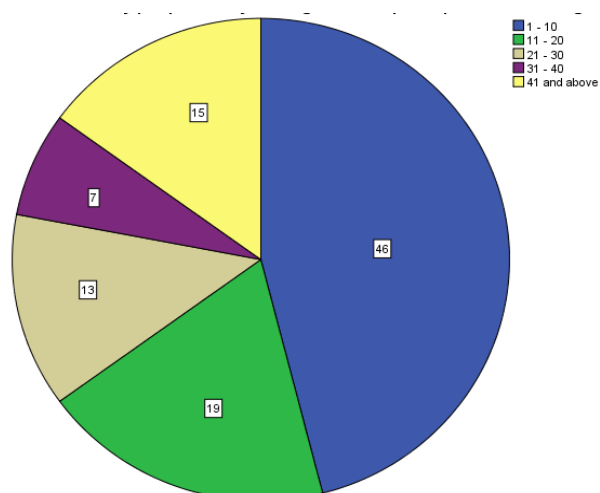
Source: Data Analysis

- **How many people from your organisation participated in the programme?**

Figure 5.28 - LGCSP shows that 46% of respondents indicate that 1 – 10 people were selected from their organisation, 19% 11 – 20 people, 13% 21 – 30, 7% 31 – 40 and 15% 41 and above were selected. Figure 5.29 – OGCBP shows that 72.60% of sample indicate about 1 – 10 employees were selected from their organisation for the programme, 10.96% of sample indicate 11 – 20 employees, 4.11% of sample indicate 21 – 30 employees, 8.22% indicate 31 – 40 employees, and 4.11% 41 and above employees. For easy interpretation, the researcher categorise the number of people into three as; 1 – 20, 21 – 40 and 41 and above.

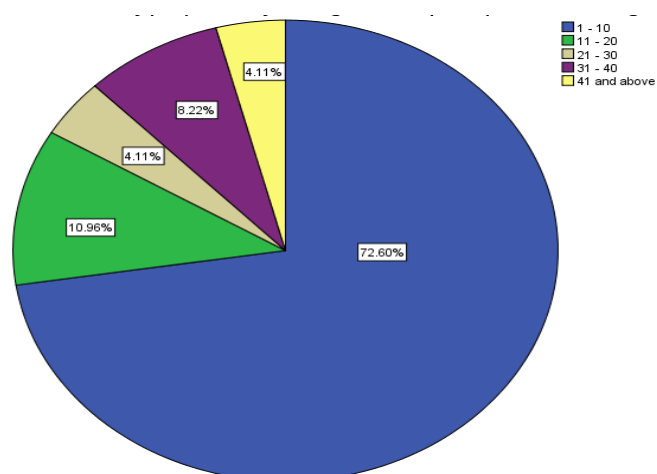
**Comparison Note:** LGCSP, 65% of sample indicate that about 1 – 20 people were selected for the programme, 20% indicate 21 – 40 people were selected and 15% indicate 41 and above people were selected whilst OGCBP, 83.56% of sample indicate that 1 – 20 employees were selected, 12.33% of sample indicate 21 – 40 employees were selected and 4.11% of sample indicate 41 and above employees were selected.

**Figure 5-28– LGCSP: Number of Employees selected**



Source: Data Analysis

**Figure 5-29 – OGCBP: Number of Employees selected**



Source: Data Analysis

- **Who were the facilitators for the programme?**

In order to explore the extent, to which ‘local people’ are involved in CD programme in terms of planning or implementation stage, the respondents were asked to indicate the facilitators of the CD activities. The facilitators were grouped: staff from your organisation, from World Bank, Government staff, and do not know.

Figure 5.30 - LGCSP shows the opinion of the sample about the facilitators of the LGCSP, 5% indicate that staff from their organisation, 11% from World Bank staff, 15% government of Ghana staff, 68% external consultants and 1% do not know. Figure 5.31 – OGCBP shows that 78.08% of respondents indicate that the programmed were facilitated by external consultants, 10.96% Government staff, 4.11% staff from the WB, 5.48% staff from their organisation, and 1.37% of sample does not know.

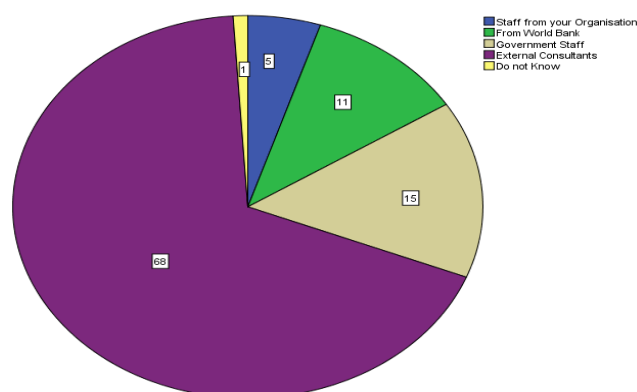
**Comparison Note:** LGCSP, 5% of sample indicate the facilitators were from their organisation, 11% of sample indicate the facilitators were from WB, 15% of sample indicate the facilitators were from GoG, 68% of indicate external consultants and 1% indicate do not know whilst OGCBP, 78.08% of sample indicate the external consultants, 10.96% indicate staff from GoG, 4.11% indicate WB staff, 5.4% indicate facilitators were from their organisation and 1.37% of sample indicate do not know. See table 5.28

**Table 5-28– LGCS/OGCBP: Facilitators of CD Programme for both projects**

Facilitators	Ext. Consultants	Gov. Ghana Staff	World Bank	Org. Staffs	Do not Know
Percentage	73%	12.98%	7.56%	5.24%	1.19%

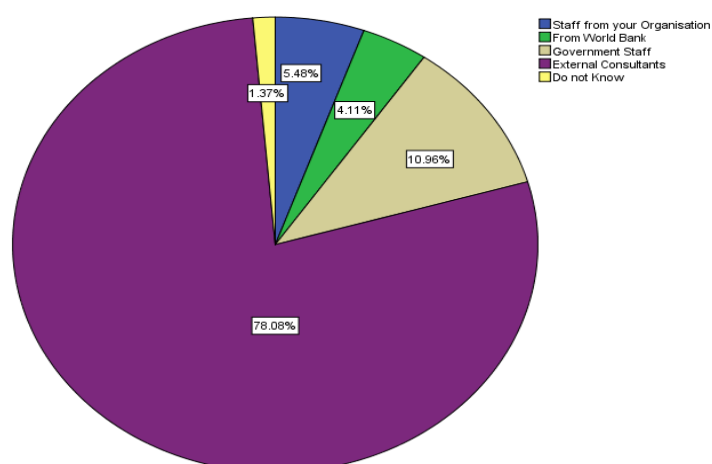
Source: Data Analysis

**Figure 5-30- LGCSP: Facilitators for the CD Programme.**



Source: Data Analysis

**Figure 5-31 – OGCBP: Facilitators for the CD Programme**



Source: Data Analysis

- **How long was the Programme?**

In order to determine how long the training programme was as part of the CD activities, participants were asked to indicate the number of weeks spent for the programme. Table 5.29 - LGCSP shows that 74% sample indicate that the training programme were about a week, 23% 1 – 2 weeks and 3% 3 – 4 weeks. Table 5.30 – OGCBP shows that 47.9% sample indicate that the training programme were held between 1 – 2 weeks, 26.0% about week, 20.5% indicate 3 – 4 weeks, 1.4% indicate 4 – 5 weeks and 4.1% indicate 6 weeks and above.

**Comparison Note:** LGCSP, 74% of sample indicate the training programme were about a week long, 23% indicate 1 – 2 weeks and 3% indicate 3 – 4 weeks whilst OGCBP, 47.9% of sample indicate about a 1 – 2 weeks, 26.0% indicate about a week, 20.5% of sample indicate 3 – 4 weeks, 1.4% indicate 4 – 5 weeks and 4.1% indicate 6 weeks and above.

**Table 5-29- LGCSP: Period of Training Programme**

	Frequency	Percent	Cumulative Percent
Valid About a week	74	74.0	74.0
1 - 2 Weeks	23	23.0	97.0
3 - 4 Weeks	3	3.0	100.0
Total	100	100.0	

Source: Data Analysis

**Table 5-30 – OGCBP: Period of Training Programme**

	Frequency	Percent	Cumulative Percent
Valid About a week	19	26.0	26.0
1 - 2 Weeks	35	47.9	74.0
3 - 4 Weeks	15	20.5	94.5
4 - 5 Weeks	1	1.4	95.9
6 Weeks and Above	3	4.1	100.0
Total	73	100.0	

Source: Data Analysis

- **Since the end of the programme, to what degree has the acquired knowledge, skills or competencies and values been utilized/used?**

As discussed earlier, capacity is about acquisition of knowledge, skills or competencies and value to help individuals, institutions and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner. CD is the how of making development

work better, in practical terms making institutions better able to deliver and promote human development (UNDP, 2010). In order to explore the extent to which the acquired knowledge, skills or competencies and valued after the programme have been utilized. Respondents were asked to indicate CD utilization.

Figure 5.32 - LGCSP shows that 4% indicate that little of the knowledge/skills/competencies/values have been utilized, 35% average, 39% high, 19% very high and 3% do not know. Figure 5.33 – OGCBP shows that 46.58% indicate that high of the knowledge/skills/competencies/values have been utilized, 20.55% indicate very high, 23.29% average, and 4.11% indicate little, 1.36% none and 4.11% employees do not know.

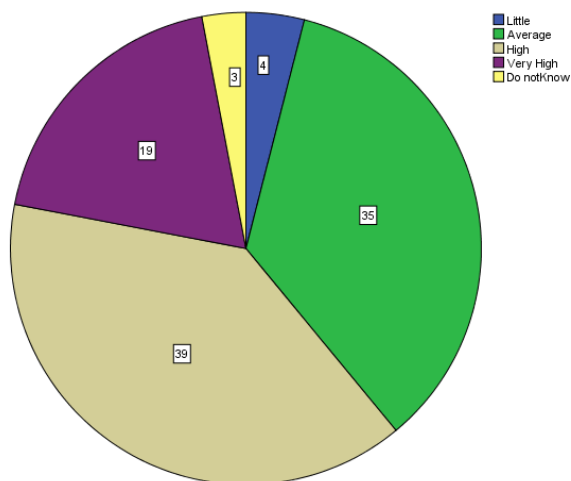
**Comparison Note:** LGCSP, 4% of sample indicate little, 35% indicate average and 58% indicate very high whilst OGCBP, 5.47% of sample indicate little, 23.29% indicate average, 67.13% indicate very high and 4.11% indicate do not know. See table 5.31

**Table 5-31 – LGCSP/OGCBP: Utilization of Knowledge/skills/competencies/values for both projects**

Ranking	Low	Average	High	Do not Know
Percentage	4.74%	29.15%	62.57%	5.56%

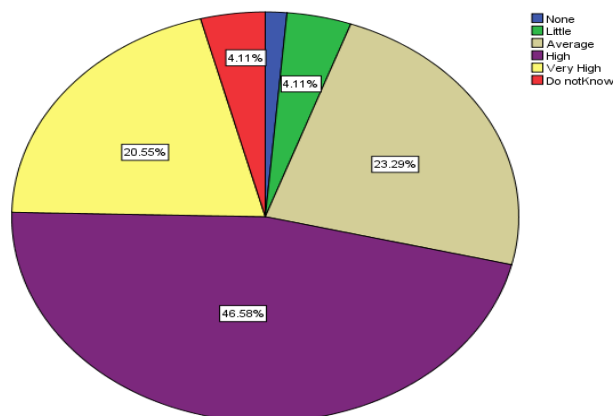
Source: Data Analysis

**Figure 5-32- LGCSP: Utilization of Knowledge/skills/competencies/values**



Source: Data Analysis

**Figure 5-33– OGCBP: Utilization of Knowledge/skill/competencies/values**



Source: Data Analysis

- **To what degree the topic covered in the programme been relevant to your organisation/country needs?**

In order to explore the significance of the CD programme in the achievement of respondents' organisational/country objectives, the respondents were asked to indicate how significant the knowledge/skills/competencies/values acquired have been applied.

Table 5.33 - LGCSP shows the opinion of the sample on the significant of CD programme on organisational/country objectives. Organisation: 23% indicate that has average utilization,

43% high, 31% very high and 3% do not know. Country: 4% indicate has little utilization, 35% average, 39% high, 19% very high and 3% do not know. Table 5.34 – OGCBP shows that for Organisation: 1.4% of sample indicate that has little utilization, 24.7% average, 52.1% high, 17.8% very high and 4.1% do not know, Country: 2.7% sample indicate has little utilization, 20.5% average, 54.8% high, 17.8% very high and 4.1% do not know.

**Comparison Note:** LGCSP, for organisation; 23% of participants indicate average utilization, 43% high, 31% very high and 3% do not know, for country 4% indicate little utilization, 35% average, 39% high, 19% very high and 3% do not know whilst OGCBP, for organisation 1.4% participants indicate little utilization, 24.7% average, 52.1% high, 17.8% very high and 4.1% do not know and for country; 2.7% participants indicate little utilization, 20.5% average, 54.4% high, 17.8% very high and 4.1% do not know. See table 5.32

**Table 5-32– LGCSP/OGCBP: Utilization of Knowledge/skills/competencies/value for Organisation/Country for both projects**

	Low	Average	High	Do not Know
Organisation	0.7%	23.85%	71.95%	3.55%
Country	3.35%	27.75	65.1%	3.55%

Source: Data Analysis

**Table 5-33- LGCSP: Utilization of Knowledge/skills/competencies/value for Organisation/Country**

	None	Little	Average	High	Very High	Do not know
Organisation	-	-	23%	43%	31%	3%
Country	-	4%	35%	39%	19%	3%

Source: Data Analysis



**Table 5-34 OGCBP: Utilization of Knowledge/skills/competencies/vale for Organisation/Country**

	None	Little	Average	High	Very High	Do not know
Organisation	-	1.4%	24.7%	52.1%	17.8%	4.1%
Country	-	2.7%	20.5%	54.8%	17.8%	4.1%

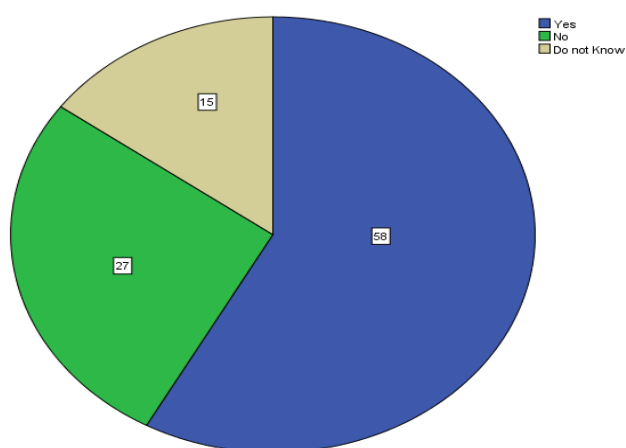
Source: Data Analysis

- **Was the programme designed specifically for your participants from your organisation?**

In order to investigate whether CD programmes are specifically designed for specific group of ‘people’ to meet their ‘local’ needs. Respondents were asked to indicate whether the CD activities were specifically organised for them. Figure 5.34 - LGCSP shows that 58% indicate that the programme was designed to meet their organisational needs, 27% indicate no and 15% said they do not know. Figure 5.35 – OGCBP shows that 50.68% of respondents indicate that the programme was designed to meet their organisation needs, 38.36% indicate no and 10.96% indicate do not know.

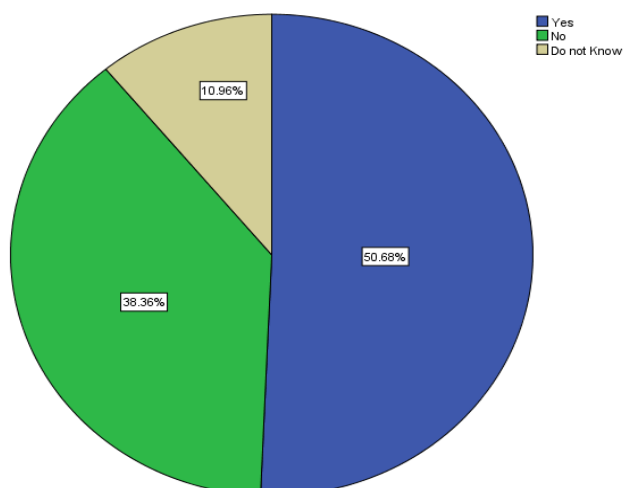
**Comparison Note:** LGCSP; 58% participants indicate that the project was specifically designed to meet their organisational needs, 27% indicate the project was not designed to meet their organisational needs and 15% indicate they do not know whilst OGCBP; 50.68% of participants indicate that the project was planned to meet their organisational needs, 38.36% indicate that the project was not planned to meet their organisational needs and 10.96% indicate they do not know.

**Figure 5-34– LGCSP: Programme for the Organisation**



Source: Data Analysis

**Figure 5-35: OGCBP: Programme for the Organisation**



Source: Data Analysis

- **Was the programme related to your country's development goals (MDGs) listed below?**

In order to explore if the CD programme was related to MDGs which is at the centre of all developing countries development agenda? The MDGs have the unprecedented support of 189 nations and mechanism for holding rich and poor nations accountable for global development. Report by the international community, progress on many of the goals and

target shows considerable geographic variation, and several are unlikely to be achieved by the poorest regions and even by the poorest groups within regions that do, on average, attain the MDGs (Haines and Sanders, 2005). Respondents were asked to indicate whether the topics discussed falls within the under listed topics.

Table 5.35 – LGCSP shows the opinion of the sample about CD programme to meet the MDGs, and this indicate that more 70% respondents agree that the programme contains all the eight goals of MDGs and other development agenda. Table 5.36 – OGCBP shows that respondents indicate that the programme was beneficial to the organisation and the country at large.

**Comparison Note:** LGCSP; 77.58% of participants indicate that the project meets MDGs, 14.58% indicate the project did not contain the MDGs and 7.16% indicate do not know whilst OGCBP 47.33% of participants indicate that the project meets MDGs, 38.76% indicate the project did not encompass the MDGs and 13.91% indicate do not know.

**Table 5-35– LGCSP: MDGs and Other Development Agenda**

	YES	NO	DO NO KNOW
Eradicate extreme poverty	81%	15%	4%
Achieve universal primary education	73%	9%	8%
Promote gender equality/empower women	72%	26%	2%
Reduce child mortality	84%	12%	4%
Improve maternal health	86%	13%	2%
Combat HIV/AIDS, malaria and other disease	85%	2%	13%
Ensure environmental sustainability	73%	16%	11%
Development global partnership for development	81%	7%	12%
Ensure water sanitation and supply	77%	16%	7

Improve investment climate/finance	75%	20%	5%
Promote trade	73%	22%	5%
Develop a global partnership for development	71%	17%	12%
Total Average Percentage	77.71%	14.81%	7.48%

Source: Data Analysis

**Table 5-36– OGCBP: MDGs and Other Development Agenda**

	Yes	No	Do not know
Eradicate extreme poverty	56.6%	38.4%	10.1%
Achieve universal primary education	34.2%	46.6%	19.2%
Promote gender equality/Empower education	35.6%	43.8%	20.5%
Reduce child mortality	37.0%	42.5%	20.5%
Improve maternal health	35.6%	46.6%	17%
Combat HIV/AIDS, Material and other Diseases	38.4%	45.2%	16.4%
Ensure Environment sustainability	54.2%	41.7%	4.7%
Develop global partnership for development	47.9%	37.0%	15.1%
Ensure Water sanitation and supply	39.7%	42.5%	17.8%
Improve investment on climate/finances	61.6%	30.1%	8.2%
Promote Trade	61.6%	27.4%	11.0%
Develop a global partnership for development	65.6%	23.3%	11.0%
Total Average Percentage	47.33%	38.76%	13.91%

Source: Data Analysis

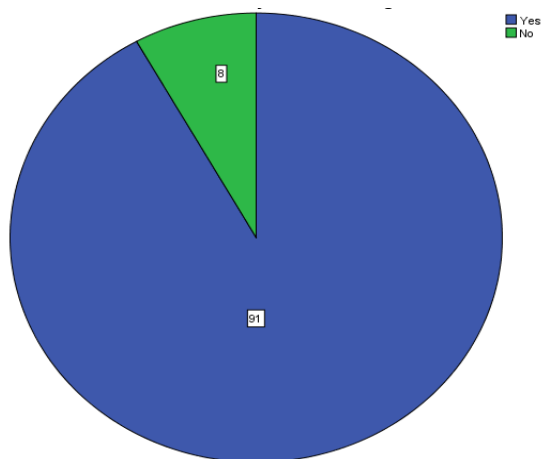
- **Did the programme meet your expectations?**

In order to explore the extent, to which participants take into consideration their expectation of the programme and whether the programme suite their interest. Figure 5.36 - LGCSP

shows that 91% indicate that the programme was design in a perfect way for their interest and 9% indicate no. Figure 5.37 – OGCBP shows that 97.26% sample indicate that the programme was design in a way that benefits them and 2.74% indicate no.

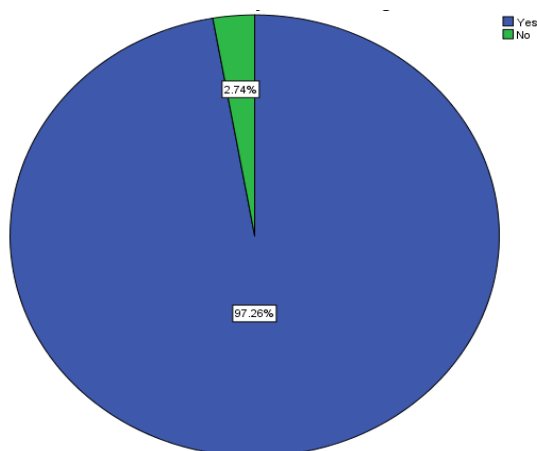
**Comparison Note:** LGCSP; 91% of participants indicate that the project meets their personal interest, 9% indicate the project do not meet their personal interest whilst OGCBP; 97.26% of participants that the project meet their personal needs and 2.74% indicate the project do not meet their personal needs.

**Figure 5-36- LGCSP: Responses to the CD Programme**



Source: Data Analysis

**Figure 5-37– OGCBP: Responses to the CD Programme**



Source: Data Analysis

## 5.7 Section five – Usefulness of the Capacity Development Programme

Improving the quality of life of citizens throughout the world remains an elusive dream. Despite advances in education, health, population control and the general prosperity of people, much still needs to be done. Delivering foreign aid is being called into question for poor achievements in sustainable impact, national ownership and appropriate technologies. As the world struggle with both theory and practice of development, ideas and approaches emerge and are tested. Over the past decade CD has become a concept –an idea – which is thought to have captured many ideas and lessons from past development activities (Lusthaus, et al. 1999). In order to assess the impact of the programme, respondents were asked to rate the degree of effectiveness of the activity in each area noted below.

- **How often have you used the acquired knowledge/skills/values for the following purpose, has the programme been effective enough and any influence in these areas?**

In order to explore the extent, to which the knowledge/skills/values acquired have been applied in the under listed and how often respondents have used or the degree of effectiveness of the activities. Respondents were asked to indicate to what extent do the newly acquired knowledge/skills/values have impact or used in the under listed areas.

Table 5.38 – LGCSP and Table 5.39 - OGCBP show that the opinion of the sample about the extent to which the CD programme has been utilized, effective and influenced their individual work. However, the researcher asked respondents to rate them independently without comparing any of the areas to other. In general, the sample opinion about the extent of CD programmes having an influence or being utilized in their field of operation.

**Comparison Note:** These two projects LGCSP and OGCBP, participants indicate that the project did not have large influence in certain areas for example; conducting research and teaching. See table 5. 37

**Table 5-37- LGCSP/OGCBP: Usefulness of Capacity Development Programme**

Areas	Low	Average	High	Do not know
Helping you develop contacts, partnership and build coalition in the field	8.3%	26.7%	62.4%	2.6%
Raising your awareness and understanding of the development issues important to your country	7.6%	30.5%	59.3%	2.6%
Helping you develop strategies or approaches to address the needs of your organisation	9.8%	24.9%	63.8%	1.5%
Helping you develop strategies or approaches to address the needs of your country	8.8%	25.9%	63.1%	2.2%
Providing you with knowledge or skills	9.9%	18.1%	69.4%	2.6%
Helping you better understand your role as an agent of change in your country's development	8.8%	22.5%	63.6%	5.1%
Conducting research/teaching	25.1%	25.1%	45.1%	4.7%
Raising public awareness in development issues	9.7%	26%	61.7%	2.6%
Implementing new practices within your work organisation	7.9%	25.9%	62.1%	4.1%
Organizing collective initiative	8.8%	30.8%	55.6%	4.8%
Influencing legislation/regulation	14.6%	24.7%	52.8%	7.9%
Implementing country development strategies	15.1%	35.7%	46.7%	2.5%
Implementing community development strategies	12.9%	32.8%	50.3%	4.1%



Your country's development environment (country policies, social group, political group, readiness for reform, etc.)	26.4%	30.1%	39.4%	4.1%
Your work environment (work procedures, colleagues, incentives systems and funding)	7%	31.5%	58.0%	3.5%
Total Percentage (%)	12%	27.4%	56.9%	3.7%

Source: Data Analysis

**Table 5-38- LGCSP: Usefulness of Capacity Development Programme**

Area	None 1	Little 2	Average 3	High 4	Very High 5	Do not know
Helping you develop contacts, partnership and build coalition in the field	3%	4%	30%	50%	12%	1%
Raising your awareness and understanding of the development issues important to your country	1%	6%	24%	36%	32%	1%
Helping you develop strategies or approaches to address the needs of your organisation	2%	8%	25%	37%	25%	3%
Helping you develop strategies or approaches to address the needs of your country	-	5%	20%	44%	28%	3%
Providing you with knowledge or skills	2%	11%	17%	29%	40%	1%
Helping you better understand your role as an agent of change in your country's development	-	8%	23%	27%	40%	2%
Conducting research/teaching	5%	20%	31%	24%	13%	7%
Raising public awareness in development issues	-	7%	15%	34%	42%	2%

Implementing new practices within your work organisation	3%	9%	30%	31%	27%	-
Organizing collective initiative	2%	6%	41%	31%	20%	-
Influencing legislation/regulation	8%	16%	33%	22%	13%	8%
Implementing country development strategies	1%	10%	37%	25%	26%	1%
Implementing community development strategies	2%	6%	34%	33%	25%	-
Your country's development environment (country policies, social group, political group, readiness for reform, etc.)	2%	10%	30%	32%	22%	4%
Your work environment (work procedures, colleagues, incentives systems and funding)	2%	5%	30%	29%	32%	2%
Total Percentage (%)	2.2%	8.7%	28.0%	32.3%	26.5%	2.3%

Source: Data Analysis

**Table 5-39 OGCBP: Usefulness of Capacity Development Programme**

Area	None 1	Little 2	Average 3	High 4	Very High 5	Do not know 6
Helping you develop contacts, partnership and build coalition in the field	4.1%	5.5%	23.3%	43.8%	19.2%	4.1%
Raising your awareness and understanding of the development issues important to your country	5.5%	2.7%	37.0%	34.2%	16.4%	4.1%
Helping you develop strategies or approaches to address the needs of your organisation	4.1%	5.5%	24.7%	45.2%	20.5% %	-
Helping you develop strategies or approaches to address the needs of your country	4.2%	8.3%	31.9%	31.9%	22.2%	1.4%

Providing you with knowledge or skills	-	6.8%	19.2%	37.0%	32.9%	4.1%
Helping you better understand your role as an agent of change in your country's development	1.4%	8.2%	21.9%	28.8%	31.5%	8.2%
Conducting research/teaching	4.8%	20.4%	19.2%	33.1%	20.1%	2.4%
Raising public awareness in development issues	2.7%	9.6%	37.0%	27.4%	20.1%	3.2%
Implementing new practices within your work organisation	-	3.7%	21.9%	42.5%	23.7%	8.2%
Organizing collective initiative	-	9.6%	20.5%	24.7%	35.6%	9.6%
Influencing legislation/regulation	-	5.1%	16.4%	37.0%	33.7%	7.8%
Implementing country development strategies	1.4%	17.8%	34.2%	20.5%	22.4%	3.7%
Implementing community development strategies	6.8%	11.0%	31.5%	21.9%	20.5%	8.2%
Your country's development environment (country policies, social group, political group, readiness for reform, etc.)	12	28.8%	30.1%	19.6%	5.1%	4.4%
Your work environment (work procedures, colleagues, incentives systems and funding)	1.4%	5.5%	32.9%	30.1%	25.1%	5.1%
Total Percentage (%)	2.4%	10.3%	26.8%	31.9%	23.9%	4.7%

Source: Data Analysis

- **How would you rate the impact – brought by the programme - in the main topic or issue addressed?**

In order to explore the impact of the CD programme on implementing or achieving their aims/objectives, respondents were asked to indicate the rate at which the topics or issue addressed has any impact or potential impact on their work or job on achieving individual, organisational and country objectives.

Table 5.40 - LGCSP shows the opinion of the sample about the impact or potential impact, 2% indicate that has little impact or potential impact, 23% average, 41% high, 33% very high and 1% do not know. Table 5.41 – OGCBP shows sample about the impact or potential impact, 4.1% indicate that has little impact or potential impact, 13.7% average, 50.7% high, 23.3% very high and 8.2% do not know.

**Comparison Note:** LGCSP; 2% of participants indicate the project has little impact or potential impact, 23% indicate average, 41% indicate high, 33% indicate very high and 1% do not know whilst OGCBP; 4.1% of participant indicate the project has little impact or potential impact, 13.7% indicate average, 50.7% indicate high, 23.3% indicate very high and 8.2% indicate do not know.

**Table 5-40 LGCSP: Impact brought by the programme in the main topic or issue addressed**

	Frequency	Percent	Cumulative Percent
Valid LITTLE	2	2.0	2.0
Average	23	23.0	25.0
High	41	41.0	66.0
Very High	33	33.0	99.0
Do not Know	1	1.0	100.0
Total	100	100.0	

Source: Data Analysis

**Table 5-41 OGCBP: Impact brought by the programme in the main topic or addressed**

	Frequency	Percent	Cumulative Percent
Valid LITTLE	3	4.1	4.1
Average	10	13.7	17.8
High	37	50.7	68.5
Very High	17	23.3	91.8
Do not Know	6	8.2	100.0
Total	73	100.0	

Source: Data Analysis

- Since the programme was completed, have you discussed the issues raised in the activity in any of the following instances: at work, with local partners, government officials, NGOs, or in the media? Yes or No

In order to test if the organisation has been using the knowledge or values acquired from the programme or not the respondents were asked to indicate if they have been implementing or not? Table 5.42 - LGCBP shows that 81% from the sample of the organisations had used the issues raised in the activity in the following instances: at work, with local partner, government officials, NGOs or in the media, but 19% had not used the issues in the above areas. Table 5.43 – OGCBP shows that 80.8% of respondents indicate that the activities of the programme have been utilized and 19.0% indicate such has not been utilized.

**Comparison Note:** LGCSF; 81% of participants indicate that skills/knowledge rose in the activities, 19.2% indicate skills/knowledge raised in the activities are not utilized whilst OGCBP 80.8% of participants indicate that skills/knowledge raised in the activities are utilized and 19.2% indicate that skills/knowledge raised are not utilized.

**Table 5-42 LGCSF: Has the programme been utilized**

		Frequency	Percent
Valid	Yes	81	81.0
	No	19	19.0
	Total	100	100.0
Total		100	100.0

Source: Data Analysis

**Table 5-43 OGCBP: Has the programme be utilized**

		Frequency	Percent
Valid	Yes	59	80.8
	No	14	19.2
	Total	73	100.0

Source: Data Analysis

- **Please if “if” how relevant are they?**

In order to explore the relevance of the programme or the extent of the impact of the programme, respondents that indicate 'yes' were asked to indicate the extent of the impact. Table 5.44 - LGCSP shows that 3.7% from the sample indicate has little relevance, 13.5% average, 63% high and 19.8% very high. Table 5.45 – OGCBP shows 1.7% respondents indicate has no relevance, 8.7% little, 18.6% average, 54.5% high and 16.5% very high.

**Comparison Note:** LGCSP; 3.7% of participants indicate that the project has little relevance, 13.5% indicate average, 63% indicate high and 19.8% indicate very high whilst OGCBP; 1.7% of participants indicate the project no relevance, 8.7% indicate little, 18.6% indicate average, 54.5% indicate high and 16.5% indicate very high.

**Table 5-44 LGCSP: Relevance after the Programme**

		Frequency	Percent
Valid	LITTLE	3	3.7
	Average	11	13.5
	High	51	63.0
	Very High	16	19.8
	Total	81	100.0
Total		81	100.0

Source: Data Analysis

**Table 5-45 OGCBP: Relevance after the Programme**

		Frequency	Percent
Valid	None	1	1.7
	LITTLE	5	8.7
	Average	11	18.6
	High	32	54.5
	Very High	10	16.5
	Total	59	100

Source: Data Analysis



## **5.8 Section six – Comparison of the World Bank capacity development with similar capacity development offered by other development organisations.**

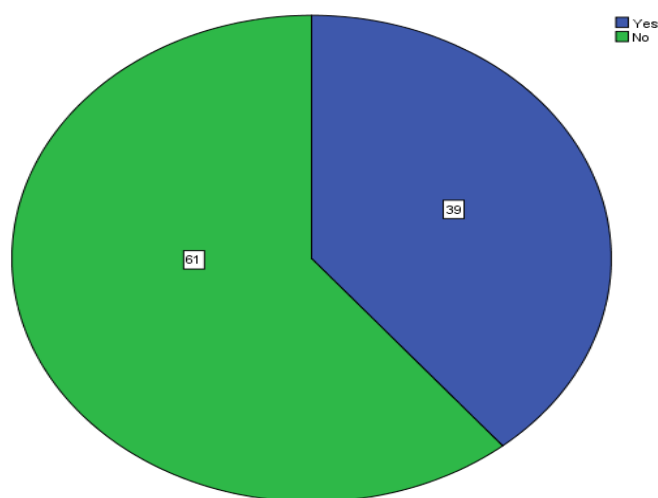
The World Bank has adapted CD as part of their policy in assisting developing countries realise or meet their development agenda. In order to determine the uniqueness of their programme with other development organisations, respondents were asked six questions which are stated below.

- **Have you participated in any similar CD offered by (NON-WORLD BANK) organisation in your country?**

Respondents were asked to specify whether or not if they have similar experience from other development organisations with regards to CD programme. Figure 5.38 - LGCSP shows that 61% of respondents indicate that they have had participated in a similar CD offered by non-World Bank organisation and 39% indicate have not had any encounter with any development organisation on CD. Figure 5.39 – OGCBP shows that 69.86% of sample has participated in a similar CD programme offered by non-World Bank agency and 30.14% have not had such encounter.

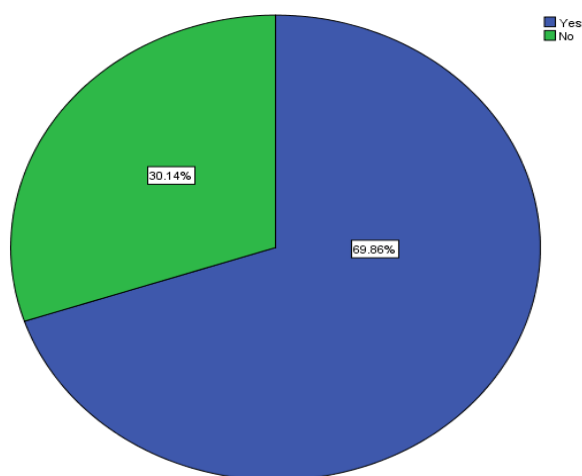
**Comparison Note:** LGCSP; 61% of participants indicate that they have engaged in a similar CD programme offered by non-World Bank organisation and 39% indicate they have not participated in any non-Work Bank CD programme, whilst OGCBP; 69.86% of participants indicate they have participated in non-Work Bank CD programme and 30.14% indicate they have not experienced non-Work Bank CD programme.

**Figure 5-38 - LGCSP: World Bank CD and Other Development Organisation**



Source: Data Analysis

**Figure 5-39– OGCBP: A World Bank CD and Other Development Organisation**



Source: Data Analysis

- **If yes, please provide the name(s) of the organisation(s)**

In order to determine the different organisation that has been providing CD to local government staffs to help them strengthen their capacities and capabilities, respondents were asked to provide the name(s) and below are the organisations: Table 5.46 LGCSP and Table 5.47 OGCBP show the organisations and the total number of respondents.

**Table 5-46 LGCSP Other Organisations supporting CD**

Name of Organisation	Institution	Total Number
German Technical Co-operation - GTZ	MMDAs	70
European Union – EU	MMDAs	33
Centre for Democratic Development – CDD	MMDAs	65
Social Enterprise Development – SEND GHANA	MMDAs	21
Ghana Institute of Management and Public Administration - GIMPA	MMDAs	90
United Nations Development Programme – UNDP	MMDAs	76
Campaign for Female Education - CAMFED	MMDAs	21
Institute of Local Government Services – ILGS	MMDAs	100
Social Investment Fund - SIF	MMDAs	100

Source: Data Analysis

**Table 5-47 OGCBP: Other Organisations supporting CD**

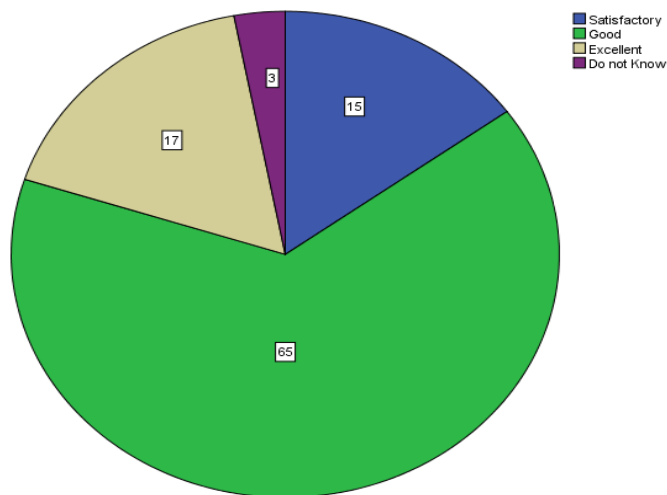
Name of Organisation	Institution	Total Number
Norwegian Agency for Development Cooperation – NORAD	All institutions involved in the research participated	73
Norwegian Petroleum Directorate - NPD	All institutions involved in the research participated	73

Source: Data Analysis

- **How would you rate the effectiveness of the World Bank CD compared with other organisation(s)?**

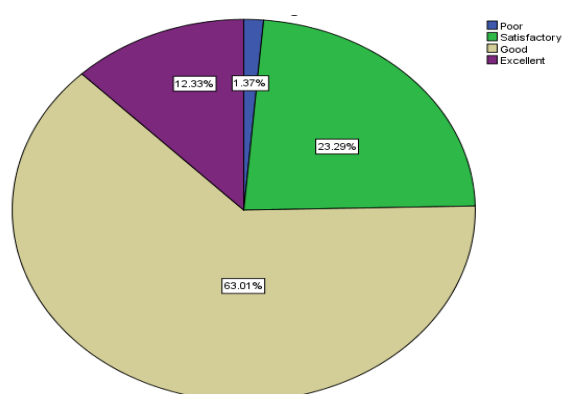
In order to investigate the effectiveness of the World Bank's, respondents were asked to indicate their opinion on the effectiveness of the programme in achieving individual, organisational and country objectives. Figure 5.40 - LGCSP shows that 15% of sample indicates the programme was satisfactory, 17% good, 65% excellent and 3% do not know. Figure 5.41 – OGCBP shows 1.37% of sample indicate that the programme was poor, 12.33% excellent, 23.29% satisfactory and 63.01% indicate it was good. **Comparison Note:** LGCSP; 15% of participants indicate that the programme was satisfactory, 17% indicate good, 65% indicate excellent and 3% indicate do not know, whilst OGCBP; 1.37% of participants indicate the programme was poor, 23.29% indicate satisfactory, 63.01% indicate good and 12.33% indicate excellent. See table 5.48

**Figure 5-40 – LGCSP: Effectiveness of World Bank's Programme**



Source: Data Analysis

**Figure 5-41– OGCBP: Effectiveness of World Bank’s Programme**



Source: Data Analysis

**Table 5-48 LGCSP/OGCBP: Effectiveness of World Bank’s Programme for both projects**

Ranking	Satisfactory	Good	Excellent	Do not Know
Percentage (%)	19.83%	40.01%	38.67%	1.5%

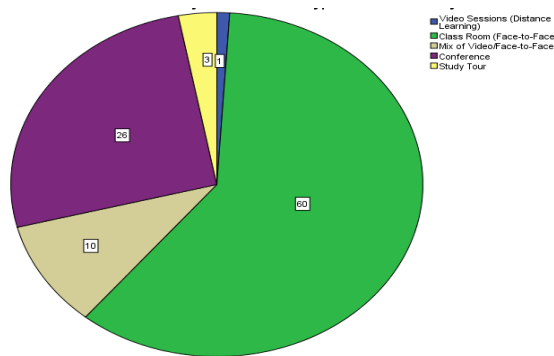
Source: Data Analysis

- **How would you describe the type of the CD activity?**

In order to explore the type of activity used by World Bank in the implementation of CD programmes, respondents were asked to describe the type of activity. Figure 5.42 - LGCSP shows that 1% indicates the activities were video session (distance learning), 3% study tour, and 10% mix of video/face to face, 26% conference and 60% class room (face-to-face). Figure 5.43 – OGCBP shows that 10.96% indicate that the activities were mix of video/face-to-face, 20.55% study tour, 28.77% conference and 39.73% class room (face-to-face).

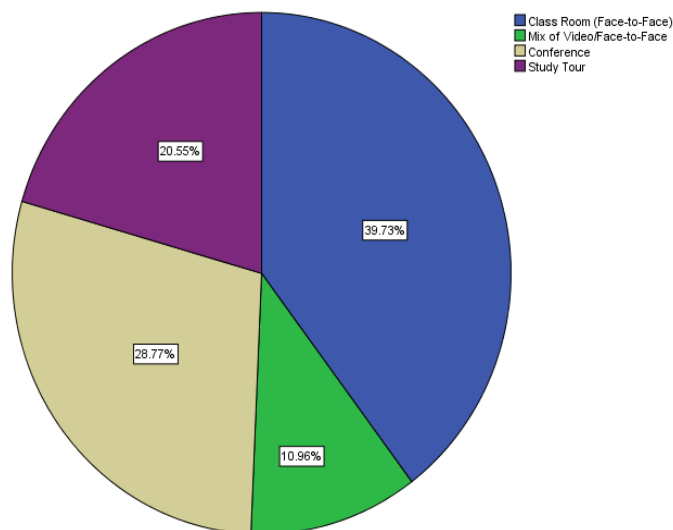
Comparison Note: LGCSP; 1% of participant indicate the activities were video session (distance learning), 3% indicate study tour, 10% mix of video/face-to-face, 26% indicate conference and 60% indicate class room (face-to-face), whilst OGCBP; 10.96% of participants indicate mix of video/face-to-face, 20.55% indicate study tour, 28.77% indicate conference and 39.73% indicate class room (face-to-face).

**Figure 5-42 LGCSP: CD Activity**



Source: Data Analysis

**Figure 5-43– OGCBP: CD Activity**



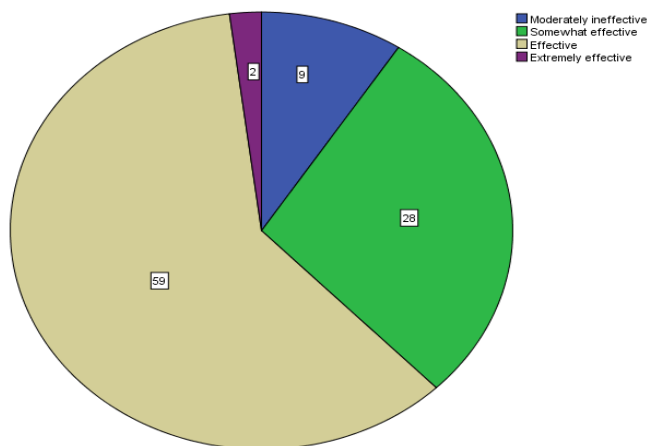
Source: Data Analysis

- **How effective was the programme in helping you achieve your goal?**

Respondents were asked of their opinion on the effectiveness of the programme in achieving their goals and Figure 5.44 - LGCSP shows that 2% of sample indicates extremely effective, 9% moderately ineffective, 28% somewhat effective and 59% extremely effective. Figure 5.45 – OGCBP shows that 4.11% of sample indicates the programme is moderately ineffective, 17.81% somewhat effective, 67.12% effective and 10.96% extremely effective.

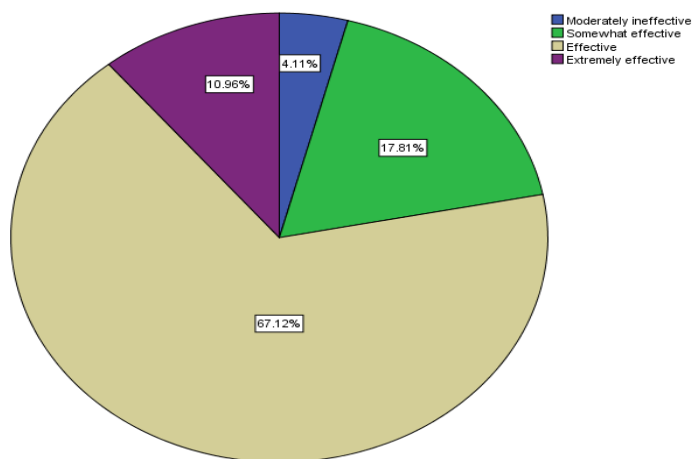
Table 5.49 LGCSP/OGCBP effectiveness of the projects and the activities involved.

**Figure 5-44- LGCSP: Overall Effectiveness of CD**



Source: Data Analysis

**Figure 5-45– OGCBP: Overall Effectiveness of CD**



Source: Data Analysis

**Table 5-49 LGCSP/OGCBP: Overall Effectiveness of CD**

Ranking	Distance Learning	Study tour	Mix of Video/face-to-face	Conference	Classroom face-to-face
Percentage (%)	0.98%	11.78%	10%	27.39%	49.87%

Source: Data Analysis

- **What are the three most important issues (subjects) that you acquired during the CD programme?**

In order to explore the important issues or subjects that were discussed, respondents were asked to indicate three topics (planning, management and sustainability) that were relevant to their work. The issues or topics were based on the demand of the department. The following are the departments: LGCSP

1. Planning Department/Physical Department
2. Finance Department
3. Administration/Human Resource Department

OGCBP

1. Petroleum data management/distraction
2. Petroleum finance
3. Environmental management

- **What are some of the things that differentiate World Bank's CD from other development organisation(s)?**

Respondents were asked about what differentiate the World Bank's programmes from other development organisation, and through the questionnaire there were only two words that keeping occurring. The following are the word;

LGCSP/OGCBP

1. Demand Driven
2. Generic



## **5.9 Qualitative evidence – the use of semi-structured interviews**

This section of the chapter demonstrates how the researcher adopted qualitative methods to achieve the aims and objective of the research project. Qualitative method is undertaken with the view of answering the research questions, adopting semi-structured interviews. The decision in adopting semi-structured interview is being clearly explained in the preceding chapter. In this part of this chapter the analysis of the participants' responses follows the sequence of the sections in the questionnaire that was carefully designed to permit such a process. The sections fall into six broad areas: demography; organisational effectiveness; management practices; relevance of CD programme; usefulness of the CD programme; and comparison of the WB CD with similar CD offered by other development organisation. The findings from the semi-structured interviews provide another perspective that confirms the quantitative analysis and helps to provide insight into the perspectives of CD and also build on its foundation.

“Efforts to strengthen skills, processes and system do not produce sustainable results if they fail to address the inherently political and complex realities of the situation and deal with the question of ‘winner and losers’. CD, whether intentional or not, can lead to shifts in roles and responsibilities. These can unsettle vested interests and establish power structure and require change in behaviour, norms and values” (UNDP, 2008, p.4). The qualitative evidence for this research is obtained from twelve semi-structured interviews. Semi-structured interviews are used because of its comparability and analytical potentials, semi-structured interviews could both serve the purpose of structured or unstructured interviews with the important feature of allowing probing of views and opinions. Gray (2009, p. 373) asserts “to explore subjective meanings that respondents ascribe to concepts or events”. The complex nature of CD validates the adoption of semi-structured interview as a research method.

- **General themes – purpose of this analysis**

The analysis in this section is based on the discussions prompted by the questionnaire for the semi-structured interviews. The themes were developed or designed based on participants' response to the semi-structured interview questions to explore the impact of CD programme sponsored by the WB – in short, this section of the research is to confirm or refute the findings from the quantitative research above. Ultimately, the study is to seek the perception of participants for the WB's CD programme.

The semi-structured interviews question were based on the quantitative research questions which covers matters beyond the general nature of CD and project reporting, problems of complexity and the need for transparency, the extent and appropriateness of CD discourse, the extent of possible supplementary information and how it is used and the analytical techniques that are applied to CD programmes in achieving sustainable development. It is important to adopt semi-structured interviews to try to assess how likely it is that development practitioners, donor agencies and developing countries would identify practices that could empower, strengthen, and develop the capabilities of individuals, organisations and societies to set and achieve their own development objectives over time. To have a synergy of both qualitative and quantitative data, the themes for the qualitative data analysis was based on the quantitative data.

For data protection, coding was used to protect respondent's identity. The following are the codes used;

P – Participant/Respondent

LG – Local Government Project

OG – Oil and Gas Project

F – Female

M – Male

- **Theme one - Demography**

The first section of the semi-structured interviews was concerned the participants background and their organisation. The general expression, the participants gave about their educational level, CD experience, organisational functions/type and position being held in the organisation. These are some concerns that development agencies (like WB) may require for the implementation of CD programme. Participant POGM1 for example, expresses the view that the organisation's sole aim is to prevent organised crime in their either private or governmental setting.

“Our mandate is to investigate, monitor and prevent any economic or organised crime against the state. So whether it is governmental or private, once it's affect the state or threatens the stability of the state. We collaborate with the Attorney Generals Department, we are public (government) funded. I being working for this organisation for more than ten years hold a master's degree and gain vest experience in capacity building, because we need continuous upgrade of knowledge/skills”. (POGM1)

There are different views expressed by other participants with further examples of comments on their organisation's roles and duties, and they are as follows:

“I have BSc planning, as a planning officer in-charge of the coordination of the assembly's programme. The organisation provides development to the surrounding communities; the government provide the assemblies with funds termed as assembly common fund to help develop the communities”. (PLGM9)

“My first degree was applied chemistry and second degree Petroleum Geoscience. Am about 40 years and am assistant Geophysics, the commission I work with is basically the regulator of upstream petroleum industry. The industry is made up three streams (up, mid and downstream). The Norwegian and other agencies have given us training programme”. (POGM12)

The general conclusion in relation to the matter of demography is that all the organisations are government funded, each has its roles and functions in helping the country achieve its developmental objectives. The organisations are either at the local, regional or national level, majority of respondents had attained tertiary level of education and gain experience in CD programme.

- **Theme Two: Organisational Effectiveness**

This second themes concern with participant’s organisation and considers the effectiveness of their organisations in achieving target goals and objectives. Generally, organisations should have overall strategy/vision/mission/values which bring people together to work as a team and also involve in decision-making process. The general view is that developing countries have weak organisations or institutions but on the whole has resulted in under-development. The following are the perception expressed by participants:

“The department was established based on the oil and gas discovery in 2007, we had four staffs but with this project my staff strength increased to twenty, we had procured some logistics through the project, example furniture, hydrocarbon laboratory, vehicles, computers and monitoring vessel to help the organisation. The department was established in 2010, our staff had the basic skills, knowledge and capacity but the dynamism of the industry require that staff are upgraded. The logistics has brought us together as a team” (POGM4)

“The composite budget has brought all budget officers together to work as a team, some colleagues travel to other assemblies to assist in their duties. We are under-staff - four in this budget department, we lack logistic, I as head of the department do not have a computer, we run software for all budget officers but I cannot access”. (PLGM10)

“We have been playing our role..... Not sufficient enough due to finances. Our staff strength is about five hundred (500), we collaborate with each other to prevent, arrest and detect crime ..... also work with other departments. Nobody takes unilateral decision”. (POGM1)

“This is a new department; we believe that if we had not had this programme thing would have been difficult. We started without knowing certain basic things in the industry..... Staffs were working anyhow and without clear vision/mission/values..... Effectiveness of the department is low”. (POGM11)

In concluding the discussion, the theme organisational effectiveness is seen as essential for the sustainable development, and this is achieved by capable people in capable organisation and with effective regulations.

- **Theme Three: Management Practices**

This theme considers the extent to which participant’s organisation requires the twenty-three listed management practices. They include; information system/technology, administrative, personnel, planning, programme development, programme reporting, human resource development, staff recruitment, supervisory (role/responsibilities), skills and experience of staff, financial planning/budgeting, funding approach/raising/development, communications plan, collaboration with NGOs/organisations/donors, government relationships, media collaboration, programme design, performance evaluation/impact, programme relevance, monitoring of environment, new programme development, organisational capacity for

campaign/advocacy at the national level and campaigning planning. The impression is that most of the participants would like to see more of these management practices implemented in their organisation to meet the dynamics of the global village.

The comments by the participants also suggest that concerns are not merely about the extent of management training and the quality or clarity of training in the organisation could be improved. The following are the comments from participants;

“I can say before this project, our filing system in the offices was not the best, we have improved on our filing system. Information flow within the assembly, from one department to another was not coordinated, stakeholders were not considered in our day-to-day activities and they were beneficiaries of our programmes – from the conceptualization stage to the evaluation stage”. (PLGM9)

“Am the head of this department and it's a new department, lets me say the department starts with the project ..... Officers were new therefore the need for training. The department acquired logistics which require that staff's knowledge/skills be upgraded. To meet our objectives staffs needed managerial training. I cannot distinguish what was there before the project..... But you know new department with new staffs require management training”. (POGM4)

“The oil and discovery brings a lot challenge to us as a security agency, crime involves different strategies therefore our agency should on top of the job to prevent/arrest/prosecute. The agency was changed in 2010 to give it more powers to meet emerging trend of crime and that brings challenges, specifically the forensic and IT”. (POGF3)

“The CD programme evolved as a result of government quest to deepen decentralization, the urban assemblies were not performing to satisfactory..... many

assemblies needed managerial skills to deepen decentralization process, managerial skill like; planning, administration, raising funds, collaborating with NGOs, programme development and many others.....”. (PLGM7)

In concluding the discussion of this theme it seems that almost all the organisation requires management training to build their capacity and competence to help them achieve the set objectives because their departments are new. Other participants also indicate they require management training to development skills and knowledge.

- **Theme Four - Relevance of Capacity Development Programme**

The fourth theme considers the extent of quality and importance of the CD programme being sponsored by the WB, and the expected impact on the country in achieving its development goals. Participants were asked to indicate whether the programme has a component that contains the eight MDGs and other development issues. The impression is that some participants indicate these developmental issues are part of the programme and others also stated these issues are not directly part of the programme. The comments by the participants also suggest the programme has sharpened their organisation and individual skills and knowledge. Below are suggestions by participants:

“As a budget officer, the last training we had been on procurement..... This exposed us to the global best practices on procurement. The topic was necessary for my work and also exposed me to certain issues I did not know. We had both external consultants and seniors officers as facilitators, 20 officers participated in the programme lasting a week. The programme is government programme, secured a loan from the WB. These are all geared towards the achievement of MDGs”. (PLGM10)

“This programme was targeted at management level, led by external consultants who fit into our assembly’s agenda, without this programme the assembly would have been in a

difficult situation considering the way we were doing things. About 30 staff members were involved for three weeks at a neutral centre. The assemblies have adapted the eight MDGs into their long objectives, and the WB does support the assembly in achieving the set goals”. (PLGM9)

“.....the ministry of energy instituted this programme to train local people for the industry. This is a very good programme, this is in two forms and the one I can talk about is the one that consultants were brought from Norway to train us. The consultants held two weeks training – resource management. I have gained a lot from this programme, after school had no practical experience..... These will help the commission to regulate the sector. This has brought a good relationship between the commission, National Development Planning (NDP) and other agencies. It’s come with other package as well. I personally have contacts of these consultants; the topics do not encompass MDGs but indirect support the country to meet these goals”. (POGM12)

“..... We are at forefront of fighting crime, the forensic and IT departments were involved, equipment were purchased for these departments. We had about three different trainings, two for the forensic and one for the IT. I cannot mention their names for security reasons ..... Initial one five people, second four and the third two people. We identified our own need..... We did not have any link with KNUST but now the collaboration has increased”. I will say this programme is timely (POGF3)

“The Government of Ghana took \$38m loan from the WB to finance this project because we did not have our own money..... The project has built offices for PC, like the attorney general some staffs were trained locally and abroad in petroleum legislation, KNUST provided them with state of the art petroleum laboratory to train students and also



sponsored lecturers abroad to read master's and PhD programmes in oil and gas related field. Basically this is what we have done". (POGM2)

The overall perception from the discussion about the relevance of the CD programme is that the programme has certainly improved their skills, knowledge and values and their organisations in meeting the sets goals. The programme was limited in scope thus targeting management level.

- **Theme Five: Usefulness of the Capacity Development Programme**

This theme looks at the relative usefulness of CD programme to the individuals, organisations and the country as a whole. This discussion considers the perception of participants of the usefulness of specific CD programmes and these responses were obtained using semi-structured interviews which reveals interesting viewpoint on the relative importance of these two projects sponsored by the WB and implemented by the GoG. All of the participants emphasised the significant of the project to their individual, organisations, some cases participants indicate that the project benefits are not direct or immediate. The overall view of the ranking of the significance of the project is comprehensive. A selection of comments by participants is as follows:

"The way we go about doing our things now there is conscious effort to do things the right way, it has helped us to implement our development plan according to the schedules. In fact without the programme things would have been worst; it has straightened us. Coordination of departments has improved (like planning and budget department now collaborate to get the job done). Individuals members now see each other as partners but not competitors". (PLGM9)

"The project has established this department to strengthen the agency, specifically for the oil and gas sector. We now have a vessel to monitor the sector environmentally, initially the

agency did not have and also the agency was overstretched due to the limited staffs for that sector but the project has eased that pressure. We now have expert for that sector”. (POGM4)

“I have learnt from colleagues who were implementing stakeholders meeting in their area but our assembly was not. Initially, we were using external consultants for our procurement but now we use our internal staffs for such process. We link up with colleagues and resources personal for assistance like knowledge and skills”. (PLGM10)

“We have had the exposure to completely shift in the way we work; we have built a new data centre for GNPC and which now called research and technology centre. This department has been refurbished with new computers and other logistics. The offices are linked with the production centre to monitor the oil/gas output, we have had the opportunities to attend conferences in Norway and the corporation has had benefits from Norway to train staffs in areas like petroleum policy management, petroleum economics, petroleum data management, and other engineering courses”.(PLGF5)

To conclude the discussion of the usefulness of the programme it is interesting and exciting that all interviewed participants suggest the programme came in at the right time to cushion their various organisations. There is also expectation that the country would benefit, perhaps as the individual and organisations are benefitting from the programme. The major concern however, is that the programme targets the managerial level and also certain departments but not the organisation as a whole. This has the potential for confusion when trying to interpret the programme impact on the larger scale.

- **Theme six: Comparison of the WB’s CD programme with similar programme offered by other development organisations**

The sixth theme considers relative difference between this particular CD programme sponsored by the WB and any CD programme organised by other development organisations.

In the development arena, there are different organisations implementing CD programmes with the same aim of helping developing countries achieve their development goal. The extent and quality of CD programme including implementation strategies has been the subject numerous studies in the literature for example, in the context of real impact of the CD programme. Most of the participants express the view that the scope of the CD programme could be improved. Some specific comments are as follows:

“Apart from the software we used, if the programme can take into consideration another practical trainings because for the theory we all sit in the same lecture rooms but the difference between them and us is that they have practical exposure, so if the programme can consider taking people on practical training to gain experience. This training was more like classroom work; the programme was a mix of video/face-to-face. I will consider this programme as effective or good as compared to the Norwegian Petroleum Directorate (NPD)”. (POGM12)

“We have received adequate training and have been equipped enough, however, by our own strategy we wanted short courses but now we are of the view that people should have been allowed to do specific oil/gas masters courses and some should have gone on attachment to some of the revenue administrations where they have oil/gas so that they learn on the job”. (POGM11)

“Our organisation has had a lot of CD programmes, here when you are employed you are given CD training before starting your job because people are from different backgrounds and they must fit into our system. We have our own CD programme, the uniqueness of this programme is their funds. I have worked in capacity building for 20 years with IMF assisting governments to set-up central bank in the Eastern Europe, training people. There is nothing unique but perhaps it is unique to me because this is the first time am doing it in the oil/gas

sector; I was doing it in the banking sector so it is just a change in the area. The concepts are basically the same, some of them are sent abroad to have a hands-on training and we arrange for attachment for people”. (POGM11).

Appendix five has detailed expressions from the semi-structured interviews and participant’s views.

The discussion from the above theme shows that participants have experience in with other organisations in CD programmes. Participant’s views can be concluded that the WB’s CD is generic and different from other agencies.

### **5.10 Summary of the Chapter**

In this chapter the quantitative data collected by delivery and collection questionnaire was analysed by using Statistical Programme for Social Science (SPSS), whilst the qualitative data collected was analysed by content analysis strategy to reduce the recorded interviews from respondents.

For the quantitative data, the following methods/techniques were adopted/employed to give a vivid account of the data collected which depicts respondents’ perception.

#### **Frequency and Percentile**

- Alpha – Cronbach Test – measuring reliability of the items of the question
- Person correlation coefficient – measuring validity of the items of the questionnaire
- Spearman-Brown Coefficient One sample t test
- Mean
- P value and

- Statistical graphs – bar chart, pie chart

The qualitative data analysis is based on semi-structured interviews with respondents provides evidence that CD programme sponsored by the WB has an impact on Ghana's development objectives. This is to confirm or deny the evidence in the quantitative data, on this basis to answer the research questions. The data was analysed using content analysis to reduce the transcribed data sets from respondents who were managers in the various Ghana public sectors. The evidence provided in the semi-structured interviews with respondents indicates that the projects are helpful; however, these projects do not cover all sectors of the Ghanaian economy. The accomplishment of the research aims and objectives and answering some research questions are the result. The next chapter will discuss the major findings the data analysis concerning the impact of the impact of CD project being sponsored by the WB.

## **Chapter Six**

### **6.1 Capacity Development and Project Impact Assessment: A Discussion**

#### **6.2 Introduction**

Increasingly, in the development cooperation, capacity development seems to be the way to achieve sustainable development. For example, in the more formal United Nations (UN) literature, capacity development has been elevated from strategy to a means of achieving development objectives. Specifically, UN General Assembly Resolution (UN, A/RES/50/120 Art.22) states that the objectives of capacity development are an important part of the operational activities of the UN. Development interventions aim at bringing about change, whilst capacity development objective is about improving current abilities of a target/s (Lusthaus, et al. 1999).

Capacity development as a process of change, involves the transitioning from one pattern or configuration of behaviour to another. As such, it is fundamentally about the dynamics of change – organisation, personal, political and logistical (Baser and Morgan, 2008). The process also enables human to move from an existing state to higher state of capacity, which then contributes to institutional development in general (UNDP, 2010).

UNDP (2010) asserts that the impact assessment of capacity and specifically the capture of change in capacity are important to understanding the success of the capacity development process. According to Lusthaus et al. (1999) more research and impact assessment are needed to build a coherent body of knowledge on capacity. Practitioners in the field of development are engaged in trying to understand and predict change. Until recently, capacity development organisations have been weak in assessing the impact of their work. What types of capacity development interventions are mostly effective and what is the causal link between capacity

development and outcomes are two questions that still have to be addressed (Blagescu and Young, 2006).

Thus, as a result of suggestions and recommendations by development practitioners in the field for further studies, this research attempt to highlight the impact of capacity development programmes. Considering, the objectives and the questions of this research, therefore this chapter presents the discussion of the findings of the research linked to the main objectives and questions of the research. This chapter is tailed towards answering research questions and achieving the objectives.

Thus, based on the above suggestions and recommendations by previous practitioners in the field of development, this study has sought to take all necessary cautions in order to highlight the impact of the capacity development projects sponsored by the World Bank in Ghana. Bearing in mind, the objectives and the questions of the study, therefore this chapter presents the findings and discussions of the study related to the main objectives and the research questions of the study. More importantly the quantitative methods utilised and the findings will be capacity development strategies discussed earlier in the literature review. The conclusion reached is that a combination of approach incorporating research methods based on “mixed methodology” is strategically successful in helping to explain the extent of the impact of capacity development on Ghana’s quest to attain sustainable development. Finally, all the findings are integrated and conceptual model will be constructed for practical application in the field.

### **6.3 Usefulness of the World Bank’s Capacity Development Project**

Before discussion of the findings, it is required to consider these arrangements to make the discussion simpler and coherent. First, the Likert scale is divided into three (low, average and high), low (none and little), average (average) and high (high and very high). Since the

research is based on two different projects (LGSCP and OGCB), the discussion is based on the responses from the two projects combined

In chapter two the importance of capacity development for sustainable development has been highlighted. Mulugetta (2008) emphasizes that sustainable development is the priority of all developing countries to provide all citizens with the capacity to manage, plan and implement their own development agenda. This has two important features: (a) the provision of capacity must go beyond the attainment of economic growth and incorporate the satisfaction of all human, organisational and institutional needs and improve social well-being and the process of capacity development should not use all resources to jeopardise the quality of life of current and future generations. Research by Morgan (1998); Lusthaus et al. (1999); Potter and Brough (2004); Koning et al. (2006); Hope (2009) and UNDP (2010) revealed that capacity development is viewed as synonymous with development assistance.

Capacity development is one of the effective ways of bringing about human development and also improved human development facilitates capacity development process. M/SDGs is about development outcome and capacity development is a mean of achieving them, and donor community supports countries to develop their own capacities to effectively access and manage the resources required to achieve these goals. Antwi et al. (2007) assert the absence of capacity necessitate capacity development. Collective capabilities are important to capacity development, and in order for institutions to create public value it must have competent individuals to generate development results (Baser and Morgan, 2008).

Research by Gordon and Chadwick (2007) acknowledge that there is a well-held belief that building the knowledge base and skills and capabilities of individuals are important for sustainable development, adoption of technology and advancement of growth. The review of the literature showed that capacity can be viewed at three levels (individual, organisational



and enabling environment); the easiest demonstration is at the individual level, where people gaining skills and knowledge can command a higher income, and at the highly aggregate level where the quantum of skills and knowledge in the population predict the income level of the population.

One of the interesting studies about evaluation of Dutch support to capacity development was the study of Lange (2013). They concluded that Dutch capacity development support has been effective in a number of cases where external and internal operations were supportive. However, for sustainable capacity development it is crucial that donors reconsider their politics and practices in such a way that they facilitate endogenous capacity development, local resourcefulness, and down-ward accountability. Such demand may require a fundamental reconsideration of present-day donor policies and practices, including political economy aspects of the aid business.

### **6.3.1 The Degree of Effectiveness**

UNDP (2010) asserts that effectiveness is about improving the quality of policy to better serve the needs of beneficiaries and improving the implementation of programmes (by having better talent management systems that attract and retain talent). Capacity development project brings about changes into individuals' way of work and in the performance of the organisation in which they work (Koning, et al. 2006). In order to ascertain the degree of effectiveness of the capacity development project (LGCSP and OGCBP), the researcher employed some of the elements of the five core capabilities identified by Baser and Morgan (2008).

The question regarding the five core capabilities of capacity development: first question; helps to develop contacts, partnership and build coalition in the field. It seems the majority of the respondents felt that the project has had positive impact on them pertaining to developing

partnership, contacts and building coalition in the field. For example, (N=173, 62.4%) of the respondents answered that the CD project has helped in developing partnership and contacts with different people and organisations. However, 8.3% of the respondents think the project has low impact. According to Baser and Morgan (2008) organisations must be able to develop their own motivation and commitment, configure itself, adapt and adopt to overcome constraints. This is about human, social, organisational and institutional energy and agency, and related to 'second order' change which is connected to deeper patterns of behaviour that are partly structural, psychological and usually deeply rooted. Both organisations and individuals involved the project benefitted from series of skills including ability to encourage mindfulness, willingness to persevere, to aspire, to embed conviction, to take ownership and to be determined.

On the issue of the project raising participants' awareness and understanding of development issue country, (N=173, 59.3%) of the respondents answered that the project had high impact. For the second core capabilities, develop strategies or approaches to address the needs of your organisation (N=173, 63.8%) whilst country (N=173, 63.1%). These core capabilities underlie the thinking of capacity issues. Capacity development is not only to improve effectiveness of organisational/country's operations, rather to ensure organisations/countries will be able to maintain this improved performance in the future, in particular, when the external assistance is withdrawn (Lusthaus, et al. 1999).

Collective capabilities are important to capacity development, donor's projects and programmes aimed to increase capacity through a variety of interventions, ranging from training and transfers, to organisational strengthening (Wetterberg, et al. 2015). On the issue of the project providing respondents with knowledge or skills, (N=173, 69.4%) indicate the project had high impact. This issue is related to the core capability of achieving coherence, balancing diversity and coherence is important to encourage stability and innovation by

preventing breaking the organisation apart. The capability to achieve diversity and coherence include; communicating, to build connections, to manage diversity and to manage paradox and tension. Regarding the effectiveness of the project empowering participants better understand their role as an agent of change in their country's development, (N=173, 63.6%) respondents showed the project had positive impact. "Capacity development is a locally driven process of learning by leaders, coalitions and other agents of change that brings about change in socio-political, policy-related, and organisational factors to enhance local ownership for and the effectiveness and efficiency of efforts to achieve a development goal" (Otoo, et al. 2009, p. 3), whilst capacity for development is the availability of human, financial and technical resources, and the efficiency and effectiveness with which societies deploy these resources to identify and pursue their development goals on a sustainable basis.

### **6.3.2 Application of the acquired Knowledge and Skill**

In the traditional model of development research, research generates knowledge and such knowledge may be used by development policy makers, students, researchers and practitioners. The knowledge generated is termed as 'global knowledge repository', the repository represents the collective output of research and practice and is more or less accessible to policy makers and practitioners. It is argued that the repository may be disaggregated into the many different subsets or disciplines currently informing development research thus poverty, sustainable livelihood, economics, human development and human health (Heffernan, 2008). The application of knowledge acquired is important in the field of development, (N=173, 45.1%) of respondents indicate that the knowledge and skills acquired was used in conducting research and teaching.

The study also showed that (N=173, 61.7%) respondents indicate the knowledge and skills acquired were used in raising public awareness in development issues. First, (N=173, 62.1%) respondents use the acquired knowledge and skills for implementation of new practices

within their organisation. On the issue of organizing collective initiative, (N=173, 55.6%) respondents show that the project has empowered them to collectively take up initiatives. Collective capabilities enable an organisation to do things and sustain itself. Effective organisation or country focus intellectual and emotional energy put in place structures in which capabilities are embedded, craft the internal and external relationships that underpinned needed capabilities and could mobilise the political, technical and logistical skills that are needed. The existence, effectiveness and interrelationships of collective capabilities are critical to capacity development as a system condition (Baser and Morgan, 2008).

In spite of advances in democracy and decentralisation reforms in Ghana, local assemblies and institutions have a strong sense of policy ownership. According to Wetterberg et al. (2015) reformist can be found at every level of government, many staffs are the most inexperienced and at worst resistant when faced with local organisations and assemblies providing them with the needed capacity to meet their core objectives. The current data analysis shows that (N=173, 52.8%) of respondents indicate the application of knowledge and skills acquired that have been applied in the area of influencing legislation and regulation are significantly important. Surprisingly and interestingly data analysis showed that the project empowered respondents to implement their country's development strategies is significantly high (N=173, 46.7%).

As discussed in chapter two efforts to strengthen skills, processes and systems do not produce sustainable results if they fail to address the inherently political and complex realities of the situation and deal with the question of 'winners and losers'. Capacity development is about what best fit rather than best practice approach. Nonetheless, for capacity development to be sustainable and also contribute to sustainable development the process must be owned and also support local people's development needs (UNDP, 2008).

Furthermore, capacity development should help people to implementing their community development strategies. In this current study data the analysis shows that the impact of the projects helped respondents implement community or organisational development strategies is high (N=173, 50.3%). Further discussion specific issues like country's development (country policies, social group, political group and readiness for reform) respondents have applied the knowledge and skills in such areas, (N=173, 39.4%). With regard to participant's work environment (work procedures, colleagues, incentives systems and funding) (N=173, 58.0%). The study findings support the current debate on capacity development. The knowledge and skills acquired are used in the various aspects of the country's development objectives including community, organisational and institutional development for policy adoption and adaption. The overall usage and effectiveness of knowledge and skills in the field of development (N=173, 56.9%).

As for the impact of the project on the development agenda of both country and organisation. The findings of the data analysis (chapter 5) support the notion of the significant impact of capacity development projects of the surveyed organisations (N=173, 74%) see table 4.16. In the next section the relevance of the capacity development support project will be discussed.

### **6.3.3 Relevance of the Capacity Development support project**

The achievement of Millennium Development Goals (MDGs) and other national/international development objectives are based on capacities of individuals, organisations and societies to transform, in order to reach their development goals. Therefore, any programme or project that seeks to address the capacity deficit must specifically direct at individuals, organisations and societies to help solve their short and long-term problems (UNDP, 2008). Without appropriate strategies, policies, laws and procedures, well-functioning organisations, and educated and skilled people, developing countries lack the requisite skills to plan, implement and review their national and local development strategies (Hope, 2009). From experience

capacity development projects should be about what is a ‘best fit’ rather than a ‘best practice’ approach to strengthen and sustain development objectives.

The MDGs highlighted eight (8) goals to be achieved by the year 2015; however, the millennium declaration remained the cornerstone of strategic direction and development tool. Capacity development is described as strategy, framework, objective, project/initiative and approach in the development co-operation (Lavergne and Saxby, 2001), in achieving these goals. As stated in the literature capacity development principles are based on:

- Broad-based participation and a locally driven agenda;
- Building on indigenous capacities;
- Ongoing learning and adaption, and
- Long term investment;
- Integration of activities at various levels to address complex problems of development.

These principles are necessary in order in achieving MDGs and other international and national development objectives. In the relevance capacity development-related question, respondents were asked if the project seeks to address the MDGs issues, in this question 62.52% of the respondents (N=173) selected yes, however, considering the individual project, the data was influenced by project LGCSP (77.71%) whilst project OGCBP (47.33%), see table 4.14.

With regards to the interviews, respondents expressed their views pertaining to the issue whether the project address MDGs objectives. The overall views expressed by the participants are that the projects directly or indirectly address the concerns in the MDGs.

There are some concerns that MDGs have become the “standard or bases” in their day-to-day activities, and these are anchored on the facts that Ghana is a signatory to these goals. Participant P9 for example, expresses the view that the MDGs form part of the assembly’s objectives since was adopted in on 8th September, 2000.

The programme is collaboration between WB, GoG and other development agencies to support decentralization. This is harmonization of development projects to the assemblies, the WB only provides supervisory role, (Participant P7).

For example, another participant suggested that; this is to help the urban assemblies to tackle the problems of urbanization. Funds are disbursed based on Functional Organisational Assessment Tools (FOAT), are also indicators to assess the assemblies based on UDG. This is to help the assemblies to pass the UDG indicators.....there are resident consultants in the various assemblies to advise on how to achieve their goals. The programme target direct training, workshop, mentorship and many others”. (Participant P6)

In a similar development, four participants expressed the feeling; below are the expressions from the four participants;

“As a budget officer, the last training we had been on procurement..... This exposed us to the global best practices on procurement. The topic was necessary for my work and also exposed me to certain issues I did not know. We had both external consultants and seniors officers as facilitators, 20 officers participated in the programme lasting a week. The programme is government programme, secured a loan from the WB. These are all geared towards the achievement of MDGs”. (PLGM10)

“The programme is collaboration between WB, GoG and other development agencies to support decentralization. This is harmonization of development projects to the assemblies, the WB only provides supervisory role”. (PLGM7).

. It’s come with other package as well. I personally have contacts of these consultants; the topics do not encompasses MDGs but indirect support the country to meet these goals”. (PLGM12).

“..... Our staffs were sent abroad (USA/UK) to do courses and consultants were also sent to give us a fair idea of the industry. We were fifteen staffs that had the project, we basic understanding and match them boot for boot. Courses are identified by us and these have positioned the organisation in helping Ghana achieve the MDGs and other international/national development objectives”. (PLGM11).

In concluding the discussion on the MDGs, it seems that the objective of project was to empower individuals, organisations and institutions involved to transform in order to reach their development objectives.

#### **6.3.4 To what degree have the acquired knowledge, skills or competencies and values been utilized/used?**

Capacity development is understood as the ability of people, organisations and society to manage their affairs successfully, capacity depends on more than the experience, knowledge and technical skills of individuals. On the issue of increasing or releasing people, organisation’s and institution’s potential to do what is required of them to bring about sustainable development. Research by Hope (2009) concludes capacity development is considered as an instrument, a process, an objective, a general approach to development, as well as framework for change and transformation. They are not stand-alone training



interventions, but rather strategically co-ordinated set of activities aimed at individuals, institution and sectors.

Otoo, et al. (2009) assert that capacity development is a locally driven process of learning by leaders, coalitions and other agents of change that brings about change in socio-political, policy-related, and organization factors to enhance local ownership for and the effectiveness and efficiency of effort to achieve a development goal. Capacity development programme is any coherent set of learning activities that is intended to bring about change in pursuit of a specific development goal. Capacity indicators measure whether the actions taken by agent of change after learning have a favourable impact on the larger system that conditions the achievement of the development objectives.

In the current research the respondents were asked; after the completion of the programme to what degree have they utilized/used the acquired skills, knowledge and values? The answers are summarized in Table 5.19. In this research the highest percentage which has utilized/used the skills, knowledges and values acquired was 62.57%. From this research point of view, the result of this question indicate that the capacity development activities meet their needs in achieving the development objectives. There are concerns that the current capacity development only addresses MDGs, without taking into consideration other developmental issues. However, all the analysis indicates otherwise. Discussions with the participants reveal that a wide range of issues are covered; sample of detailed comments from the interviews are provided below:

“This programme was targeted at management level, led by external consultants, the programme fist into our assembly’s agenda, without this programme the assembly would have been in a difficult situation considering the way we were doing things. About 30 staff members were involved for three weeks at a neutral centre. The assemblies have adapted the

eight MDGs into their long objectives, and the WB do support the assembly in achieving the set goals”. (PLGM9).

“The programme is collaboration between WB, GoG and other development agencies to support decentralization. This is harmonization of development projects to the assemblies, the WB only provides supervisory role. I have utilized the knowledge, skills and values acquired after the programme”. (Participant P7)

The views expressed by participants show that the acquired skills, knowledge and values are relevant to their work or their various organisations stand a better chance of benefitting. To also ascertain to what level of relevance is the programme to the organisation and the country, the following question was asked;

### **6.3.5 Relevance of the topic covered to Organisational/Country needs?**

New skills, knowledge, values and information can bring about change in power and relationship among elements of society. For example, Otoo, et al. (2009) a skill-building programme for parliamentarians and their staffs may result in improved budgetary oversight and enhanced political accountability. Knowledge and information can improve situation or context, placing these in the hands of new or different stakeholders can change dynamics of decision-making. Learning can lead to changes, and changes that occur in an individual or a group of individuals, such as improvement and skills, or changes in motivation and attitude with respect to a particular issue.

Research has revealed that some capacity development programmes do not address the immediate and future development objectives of organisations and countries involved but only address the programmes goals. For example, capacity development activities that are limited to the capacity to produce results in the short term (Lange, 2013). As discussed earlier the significance of capacity development is to bring about change, development,

sustainability and effectiveness. However, are often times facilitated by development cooperation but if it is not carefully managed, it can end up undermining ownership and capacity (UNDP, 2008).

In the current research, data analysis shows that the capacity development project being sponsored by the WB and implemented by the Local Government Ministry and Ministry of Power and Energy, (N=173, 71.95%) respondents indicate that the topics covered by the project are high in addressing their organisational needs. The interviews also support the above assertion and below are some interview examples:

“The oil and discovery brings a lot challenge to us as a security agency, crime involves different strategies therefore our agency should on top of the job to prevent/arrest/prosecute. The agency was changed in 2010 to give it more powers to meet emerging trend of crime and that brings challenges, specifically the forensic and IT”. (POGF3).

“.....many assemblies needed managerial skills to deepen decentralization process, managerial skill like; planning, administration, raising funds, collaborating with NGOs, programme development and many others.....”. (PLGM7).

“.....This is to help them improve on their planning/budgeting system, auditing and reporting system, revenue collection management, asset management and social accountability. An appraisal study was undertaken to determine each assembly’s capacity”. (PLGM6).

Sustainable development is the priority of all developing countries to provide its citizen with the capacity to manage, plan and implement their own development agenda. According Mulugetta, (2008) there are important features thus; the provision of capacity must go beyond the attainment of economic growth and incorporate the satisfaction of all persons,

organisational and institutional needs and improve social well-being. Capacity development should not use all resources to jeopardise the quality of life of current and future generation. Wubneb, (2003) capacity development from the nation's point of view involving all actors and must seek to address the country's development objectives.

With the aim of seeing the impact of the capacity development project on the country's development objectives, the respondents were asked to rate the degree of which the topic covered in the programme relevant to their country's needs, the results shown in table 5.20 with 65.1% indicating high. These findings show that the development community are sharpening their policies in addressing country's need. On the contrary, the use of short-term technical experts and the provision of physical asset were not addressing country's needs (Franks, 1999).

One of the participants supported this statement;

“The assemblies have clear stated strategy/vision/mission..... but we are not working to the best of our ability... we function as a team and not achieving our maximum.”  
(PLGM9)

Another participant highlighted the importance of this intervention.

“This is a new department; we believe that if we had not had these programme things would have been difficult. We started without knowing certain basic things in the industry..... Staffs were working anyhow and without clear vision/mission/values..... Effectiveness of the department is low.” (POGM11)

“We have been playing our role..... Not sufficient enough due to finances. Our staff strength is about five hundred (500), we collaborate with each other to prevent, arrest and

detect crime ..... also work with other departments. Nobody takes unilateral decision”. (POGM1).

### **6.3.6 Facilitators of Capacity Development**

According to Lusthaus, et al. (1999) despite advances in technology and economic solutions has not adequately changed the conditions within which large number of people are living. Delivering of foreign assistance is being called into question, Frank (1999) this is as a result of mode of delivery. The international community were concerned with the provision of physical asset and only interested in industrialization therefore the provision for basic infrastructure. During this period attention was not given to transfer of skills or the sustainability of the concept (UNDP, 2008). The use of short-term technical experts was the focus.

In order to explore which external experts are involved in capacity development, in table 5.17 the data showed that 73% of the respondents (N=173) believe that external consultants were used in the facilitation of the project. Subsequently, the analysis shows that some respondents were sent abroad for further studies as part of the project. There were different facilitators including government of Ghana staffs (12.98%), World Bank staffs (7.56%) and the organisations used their own staffs (5.24%). It seems the international community has not shifted from the old ways of implementing international development assistant projects. However, it can also be said Ghana first discovered oil and in commercial quantities in 2007 and considering the nature of the industry there was the need to involve external expertise in that field. The technical cooperation was supply driven whilst capacity development is demand driven towards the achievement of human development, millennium declaration and sustainable development goals.

On the issue of facilitators, participants indicated that;

“The programme is collaboration between WB, GoG and other development agencies to support decentralization. This is harmonization of development projects to the assemblies, the WB only provides supervisory role. I have utilized the knowledge, skills and values acquired after the programme”. (PLGM7).

..... Our staffs were sent abroad (USA/UK) to do courses and consultants were also sent to give us a fair idea of the industry. We were fifteen staffs that had the project, we basic understanding and match them boot for boot. Courses are identified by us and these have positioned the organisation in helping Ghana achieve the MDGs and other international/national development objectives. (POGM11).

#### **6.4 Management Practices**

Contemporary HRM practice is pervasive in all aspect of human life within all organisations (Analoui, 2007; Ivo, 2006; Pindur et al 1995). According to Ng (2011) management is regarded as getting things done effectively through people to achieve the set gaols, which requires a combination of different skills such as leadership, communication and people skills. The importance of effective management development is brought about regularity and intensity of change at the organisational level.

Capacity development is about ‘how’ of making development work better and is, in essence, about making institutions better able to deliver on their mandate and also promote human development. Research reveals that developing countries lack the capacity to plan, manage, implement and initiate development programmes. These weaknesses prompted the initiative capacity development (UNDP, 2008). The international community has been grappling with ideas about the advancement of human life; different ideas has been tried and tested but capacity development emerged in reaction to lack of results produced by initiatives based on technical cooperation and many others (Lusthaus et al 1999).

Capacity development is about change, effectiveness, capabilities and sustainability. Research by O'Hare (2010) concludes that capacity development adds to change management which includes organisational and financial planning, HRM, risk management, performance management, marketing management, strategic management, relationship management and technology management.

With the aim of assessing the impact of capacity development project on organisational development and invariably contributing the country's achievement of sustainable development and other international and national development objectives. The respondents were asked to rate the extent to which their organisation require these management practices (Shown in table 4.9) to make their organisation effective. (N=173, 64.05%) of respondents indicate their organisations require these management practices to boost their organisation effectiveness to achieve the desired goals.

Broadly speaking as discussed in chapter two, it is generally and broadly agreed that developing countries lack the managerial skills and knowledge to plan, manage, implement and maintain their own development strategy (UNDP, 2008; Lusthaus et al 1999; Morgan 1998; Saasa 2008; Baser and Morgan 2008). As the international community struggles with both theory and practice of helping developing countries to meet their development objectives, ideas and approaches emerged and are tested. Capacity development has become a concept – an idea – which is thought to have captured many ideas and lessons from previous development activities. The concept has become the central purpose of all development activities (Lusthaus et al. 1999), support for capacity development activities account for about 25% of all international donor assistance.

Research has revealed that capacity development encompasses institutional building, institutional development, human resource development, development

management/administrative and institutional strengthening. On a similar note, Hope (2009) describe capacity development as an instrument, a process, an objective, a general approach to development and as well as framework for change and transformation. It is not a stand-alone training interventions but rather a strategically co-ordinated set of activities aimed at individual, institutional and sector enhancement. The comments by the participants also suggest that concerns are not merely about the extent of management training and the quality or clarity of training in the organisation could be improved. The following are the comments from participants;

“I can say before this project, our filing system in the offices was not the best; we have improved on our filing system. Information flow within the assembly, from one department to another was not coordinated, stakeholders were not considered in our day-to-day activities and they were beneficiaries of our programmes – from the conceptualization stage to the evaluation stage.” (PLGM9). Other participants also indicated how relevant the project was to their department;

“ Am the head of this department and it’s a new department, lets me say the department starts with the project ..... Officers were new therefore the need for training. The department acquired logistics which require that staff’s knowledge/skills be upgrade. To meet our objectives staffs needed managerial training. I cannot distinguish what was there before the project..... but you know new department with new staffs require management training”. (POGM4)

The above participants indicated the need for capacity development programme for their various departments and organisations. As being reviewed in the literature, training is an important component of capacity development and since the inception of TC or TA training has played a central role in assisting developing countries or aid distribution. The following



statements from participants also support the view that the individual or organisation requires capacity development programme to help to face the challenging task of their work.

The oil and discovery brings a lot challenge to us as a security agency, crime involves different strategies therefore our agency should on top of the job to prevent/arrest/prosecute. The agency was changed in 2010 to give it more powers to meet emerging trend of crime and that brings challenges, specifically the forensic and IT. (POGF3)

“..... the local government system is a pivotal in development in Ghana, the country has come a long way since 1988. Almost of the time there has been support to the assemblies to strengthen them to help in the development process. Most of our municipal and metropolitan assemblies are grappling with urbanization. This is to help them improve on their planning/budgeting system, auditing and reporting system, revenue collection management, asset management and social accountability. An appraisal study was undertaken to determine each assembly’s capacity. (POGM6)

Prior to the discovery oil and gas, country has not made any conscious effort to train people in the oil industry..... this is help to manage/regulate the sector (Institutional building), governance (transparency and provision of information) and enhance local content. This is a new area..... if you knew this ministry things has changed. The ministry of Finance is in charge oil revenue management act, the need to be trained in these areas to help them understand the act and implement it. Parliamentarians did not know anything about oil/gas..... a new data centre built to store oil/gas data because the system is old and needed new one. The new system is in place and staffs need to understand the system. Staffs should be trained on how to measure the metering system..... (POGM2)

In concluding the discussion of this theme it seems that almost all the organisation requires management training to build their capacity and competence to help them achieve the set objectives because their departments are new. As Hope (2009) contend that for developing countries to achieve sustainable development there is the need to build the capacity of all actors. Society needs capable individuals, organisation and institutions which are essential instrument of development. For example, planning, management, implementation and accountability in policies and programmes for capacities are important in order to achieve specific development objectives and results (ADA, 2011). Society is multi-faceted which requires different skills, creativities, talents and ideas (Mulugetta, 2008). Other participants also indicate they require management training to development skills and knowledge.

#### **6.4.1 Organisational Effectiveness**

In chapter two the importance of organisation in general has been discussed. UNDP (2008) emphasizes that capacity can be built with individuals, organisations and within enabling environment. Intent and purposes building capacity at any level is to bring about effectiveness, effectiveness is the degree to which an organisations achieve its set objectives. It is about improving the quality of policy to better serve the needs of beneficiaries and improving implementation of programmes. Effectiveness is an indicator of quality or adequacy of output quantity/quality (UNDP, 2010).

Research has revealed that capacity development is about effective change in managing, planning, implementing and achieving development on sustainable manner (UNDP, 2010; Analoui, 2007; Morgan, 2008; Debarh and Ofori, 2005). Baser and Cornforth and Mordaunt (2011) assert that organisational capacity development is about developing of the capabilities of an organization to improve its effectiveness and sustainability. These involve internal policies, arrangements, procedures and framework that allows organisation to function on

their core mandate, and that ensures the coming together of capable individuals to function and deliver on their goals (UNDP, 2008).

Organisations must be able to adapt and change, such as adaptive, absorptive, innovative, entrepreneurial, and transformative capacity (Cornforth and Mordaunt, 2011). Potter and Brough (2004) assert organisations are important and developing their capacity is an inter-dependent process because the success of developing capacity in one sector may depend on developing capacity in another. This is a complex process, which includes investment in individuals and practices that will enable developing countries achieve their development objectives in a sustainable manner. In the next section the effectiveness of organisations selected for the capacity development project will be discussed.

#### **6.4.2 Effectiveness of Organisation**

UNDP (2008) and World Bank (2010) assert that the achievement of MDGs and other international/national development goals hinges on capacities of individuals, organisations and societies to transform, in order to reach their development objectives. Capacities is one of the cardinal issues for most developing countries, without supportive strategies, policies, laws and procedures, well-functioning organisations and educated and skilled people, countries lack the foundation needed to plan, implement and review their development strategies.

Research by Lange (2013) using twenty-six (26) organisations to evaluate Dutch support to capacity development. He argues that Dutch capacity development support has been effective in a number of cases and for sustainable capacity development it is crucial that donors reconsider their policies and practices in such a way that they facilitate endogenous capacity development, local resourcefulness, and downward accountability. The Dutch support has contributed to positive changes in the core capabilities and capacity of organisations. The core capabilities include; to act and commit (15 cases) and to relate to external stakeholders

(15 cases). Positive changes in the three other capabilities (to deliver on development objectives, to adapt and self-renew, and to achieve coherence).

In a similar research, Wetterberg et al (2015) argue that in reality, available organisations varied greatly in their capacity to deliver technical assistance. Most often had relevant knowledge in one area, such as technical skills, or previous work with local governments, but rarely demonstrated well-rounded competencies. Some organisations demonstrating high level of technical capacity faced difficulties achieving the same results in new context where they were called upon to adapt their technical expertise to new situations. They recommend that to strengthen, rather than overwhelm, the capacities of local organisations thus required consideration of their familiarities with the implementation context, their embeddedness in specific social environments, and a broad perspective on their capabilities. Moreover, to function effectively though, project designers need to assess core capabilities along the chain of implementing entities and target capacity development accordingly.

In order to ascertain the effectiveness of involved organisations in this research, respondents were asked to indicate their organisation's effectiveness with regards to achieving their developmental objectives, this study revealed that most of the organisations were effective as 56.58% of indicate their organisations are high in achieving their objectives. This also supports the research by Wetterberg et al (2015) that rarely will organisations demonstrate well-round competencies. Moreover, the following extract from the qualitative interviews support the above and the current researches. As six of the participants clearly explains;

“The department was established based on the oil and gas discovery in 2007, we had four staffs but with this project my staff strength increased to twenty, we had procured some logistics through the project, example furniture, hydrocarbon laboratory, vehicles computers and monitoring vessel to help the organisation. The department was established in 2010, our

staff had the basic skills, knowledge and capacity but the dynamism of the industry require that staff are upgraded. The logistics has brought us together as a team.” (POGM4)

“The composite budget has brought all budget officers together to work as a team, some colleagues travel to other assemblies to assist in their duties. We are under-staff - four in this budget department, we lack logistic, I as head of the department do not have a computer, we run software for all budget officers but I cannot access.” (PLGM10)

“We have been playing our role..... Not sufficient enough due to finances. Our staff strength is about five hundred (500), we collaborate with each other to prevent, arrest and detect crime ..... also work with other departments. Nobody takes unilateral decision.” (POGM1)

“This is a new department; we believe that if we had not had these programme things would have been difficult. We started without knowing certain basic things in the industry..... Staffs were working anyhow and without clear vision/mission/values..... Effectiveness of the department is low.” (PLGM11)

“Fundamentally, our organisation seems to be working but not effective as expected..... decisions are taken at the top and implemented by us. The assemblies are backed by legislative instrument (LI), the assembly’s structure is good but not prudent and sufficient.” (PLGM8)

“The assemblies have clear stated strategy/vision/mission..... but we are not working to the best of our ability... we function as a team and not achieving our maximum.” (PLGM9)

As capacity development is an endogenous process of learning which includes individual, organisations and societies (UNDP, 2008). These actors must come together to work

efficiently and effectively to achieve set targets. Capacity of an organisation is the ability to create public value with competent people committed to generate results, collective capabilities to support and manage the structure for sustainability, and able to attract these things together with some sort of integration, synthesis and coherence. Capacity can emerge through the interaction of all these elements, as it has been defined by different researchers, capacity development is about increasing or releasing people's institution's and organisation's potential to do what is required of them to bring about sustainable development.

Smith (2001) argues that organisations are made of small groups and teams. All organisations are utilizing work groups, taskforce, blue ribbon commissions and panels, and various types of teams and support groups to accomplish their mission and objectives. Groups are being implemented at all hierarchical levels and have assumed many roles and responsibilities central to the function of these organisations. Teams and groups work have become prevalent in today's organisation. In order to investigate the extent to which staffs of the sampled organisations work efficiently across teams, participants were asked to indicate. The research revealed that 51.8% of participants believe that their organisations work in teams and groups to meet set goals. The results agree with what has been revealed by Smith (2001) in organisation adopting teams and groups to meet set goals. Surprisingly and interestingly data analysis showed that 42.05% of participants agree that staffs involve in decision-making process.

#### **6.4.3 Respondents Background and Capacity Development Experience**

Generally speaking capacity for development is about change and managing change as well as other aspects of human life. It is argued that young people have more ability to learn new things, can work for longer period, self-motivated, enthusiastic, are more vital and can acquire new ideas and experiences, and can take risk as compared to the older people. The

older people have gained experience; represent wisdom, rational in decision taken and more conservative. According to Otoo et al. (2009) capacity to plan, manage, implement, and account for development results is critical for achieving development goals. Therefore, there is the need to understand the processes by which change occurs and the importance of strategy are not overlooked.

Capacity for development is the availability of resources and the efficiency and effectiveness with which societies deploy these resources to identify and pursue their development goals on a sustainable basis (Otoo et al. 2009). The availability of resources (human, financial and technical) is a necessary but not adequate condition for achieving sustainable development, effectiveness and efficiency; depend on specific configuration of socio-political, policy-related, and organisational factors and sustainable development; comes when performance are locally owned. To accomplish these three things, leaders and change agents should adopt the attitude of learning and change processes.

For the concepts of young and older people in capacity development projects, there are three possible explanations; for the conservative position of older people is that they have less physical and mental strength to grasp new ideas and learn new innovative methods. It is established that there is a negative correlation between managerial age and the ability to integrate information in decision-making and confidence in decision. On the contrary, there is a positive correlation between tendencies to seek information and to take longer to make prudent decision.

Secondly, older managers think about their position and organisation thus they have higher psychological commitment to the organisational principles. Lastly, in terms of security older people's financial and career security are significant. Older people turn to reduce spending and plan saving towards their retirement. According to Wiersema and Bantel (1992)

individual age has influence on strategic decision-making perspectives and choices. Flexibility decreases and rigidity and resistance to change increase as people age. As such older managers lack the conviction necessary to provide the required leadership for strategic change.

Research has shown that level of education reflects individual cognitive ability and skills. High levels of education are linked with high potential for information processing and ability to discriminate among a variety of stimuli. Moreover, high levels of education have consistently been linked with receptivity to innovation. Individuals with high education have the ability to adapt to strategic corporate change (Wiersema and Bantel, 1992).

In the current research, 45.27% of the respondents belonged to the age category of 31 – 40 and 62.95% are male. The cross-tabulation of respondent's age and gender show that between the ages of 21 – 30, 52.7% are females, 61.55% of males are within the age category of 31 – 40, 68.35% of males are within the age category of 41 – 50 and 58.9% of males are above the ages of 50. Considering the Chi-Square test of 0.197, there is no association between respondent's age and gender.

Education at the individual level serves as the intellectual resource for all organisations and education is a long term development of life (Armstrong, 2005). Education is used to respond to addressing a variety of institutional, organisational and individual skill weakness. Evidently, African governments and donor agencies instituted African Capacity Building Foundation (ACBF) manage some of these weaknesses (Nelson, 2006). Education is viewed as long term, broad and mainly knowledge based which prepares the individual for further specialization in the form of training or any other development programme. In many instances the provision of opportunity for further education is used strategically to ensure that valuable human resources are retained (Analoui, 2007).



Capacity development aim at supporting individuals, organisations and society to access knowledge, develop the skills, and utilize the systems that support sustainable development. According to UNDP (2008) knowledge is the creation, absorption and diffusion of information and expertise towards effective development solution. Peoples knowledge underpins their capacities and hence capacity development. Knowledge needs can be addressed at different levels (national/local/sector, primary/secondary/tertiary) and through different means (formal education, technical training, knowledge networks and inform learning). Capacity development actions to deepen and expand the contribution of knowledge include the linking of human development needs to the mainstream education agenda. For the current study, (N=193, 0.5%) of respondents have had non-tertiary education and (N=173, 99.5%) have had tertiary education.

Karami et al (2006) assert that managers with managerial experience place more weight on formal strategy development than those managers who lack managerial work experiences. Regarding the work experience of the CEOs and firm performance, there is a significant association between these two variables. This current study, show that there is no significant association between previous experience and respondents' age at significant level  $\alpha = 0.05$ . To test the hypothesis one way ANOVA was used and the results illustrated in Table 6.1. shows the p-value equal 0.299 which greater than 0.05 and the value of F test equal 1.862 which less than the value of critical value which is equal 2.29. That means there is association between respondents' age and previous experience in capacity development.

**Table 6-1 One way ANOVA test for respondents' previous experience with Capacity development project and age  $\alpha = 0.05$**

	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	3.723	2	1.862	1.862	.299
Within Groups	117.428	171	.687		
Total	121.151	173			

Critical value of F at df "2,171 and significant level 0.05 equal 2.29

Source: Data Analysis

Capacity development is one of the effective ways of bringing about human development and also improved human development facilitates capacity development process. Sustainable development goal is about development outcome and capacity development is a means of achieving them, and donor community supports countries to develop their own capacities to effectively access and manage the resources required to achieve these goals. The effectiveness of capacity development is important, according to UNDP (2010) capacity development are prepared to respond to challenges in capacities, institutions design programmes to develop capacities responses to bring about positive change to the characteristics of functions performed, product produced or service provided that increases the likelihood of achievement of strategic and operational objectives increases effectiveness.

Empirical studies suggest that the dimensions of effectiveness varies, for example Herman and Renz (2004) identified nine distinct dimensions of non-profit organisation of effectiveness: financial management, fundraising, programme delivery, public relations, community collaboration, working with volunteers, HRM, government relations, and board governance. Other authors, LeRoux and Wright (2010) measure effectiveness based strategic decision-making process but according Taysir and Taysir (2012) in order to effectively

measure effectiveness, evaluators need qualitative or quantitative indicators. Several researches have assessed different set of variables.

Organisational effectiveness refers to how successfully organisations achieve their objectives. Its measures are particularly about with the understanding the unique capabilities that organisations develop to ensure success (Chang and Huang, 2010). In the current study, the respondents were asked to indicate how significant the World Bank's sponsored capacity development project as compared to other organisations (N=173, 40.01%) indicate the project was good in helping to achieve their organisational development goals.

[C]apacity development is much more than supporting training programmes and the use of national expertise – these are necessary and on the rise, but we must include response and support strategies for accountable leadership, investments in long-term education and learning, strengthened public systems and voice mechanisms between citizens and state and institutional reform that ensures a responsive public and private sector that manages and delivers services to those who need them most.

..... [I]t is our collective responsibility and response to capacity development that gives meaning and shape to the principles of national ownership, and translates it into more sustainable and meaningful development outcome (UNDP, 2008, p. 3). In the 1970s and 1980s technical cooperation was the common approach to development cooperation; priority was primarily technical training and the introduction of models and systems from the North. For example, a technical expert will come into a country for a short period to provide expertise and technology, and this will be followed by financial resources. During this period attention was neither given to transfer of skills nor the sustainability of the concepts (UNDP, 2008).

Due to lack of result produced by the use of short-term technical experts, according to Wubneb (2003) solution imposed unilaterally from outside cannot address the problems and concerns of developing countries and methods and strategies should target the sustainability of development goals. In order to explore the type of activities used in capacity development, the study shows that there are different activities employed and there are no specific activities. They include, distance learning, study tour, mix of video and face-to-face, and conference. The study shows that (N=173, 49.87%) indicate face-to-face.

## **6.5 Summary of Findings**

The studied projects placed the most emphasis on developing the capacity of individuals and organisations/institutions for short and long-term benefit to society as a whole. Both the short and long-term objectives of the projects are integral of Ghana's developmental objectives. The respondents considered the implementation strategy of both projects critical to the achievement of the country's developmental objectives, and capacity development is one of the effective ways of bridging the capacity gap for sustainable development. This also brings about human development and improved human development facilitates capacity development process.

The following are some of the issues raised with regards to the implementation of the projects; for sustainable development donors should re-consider their organisational policies and practices in a way to encourage local resourcefulness, endogenous, and down-ward accountability. The process of top-down approach should be replaced with the bottom-up approach and capacity development projects should be a continuous process because society is dynamic. Capacity development should devoid of the "colonial" blue-print approach. Capacity development is not only to improve effectiveness but to ensure continuous progress with/without external support.

The results emphasise, the high level in areas of the five core capabilities which respondents showed projects had positive impact. The knowledge and skills acquired were used by respondents in their various operational fields. These new acquired knowledge and skills have a direct effect on their personal, organisational and country's development objectives.

On the issue of the relevance of the projects, these projects directly or indirectly address all critical development agenda of the country. The capacity development projects can be described as "best fit" rather than a "best practice" because it addresses appropriate strategies, policies, laws and procedures for continuous advancement in development. Educated and skilled people updated their skills and knowledge, and these people are working in well-functioning organisations. These people in turn are working towards the achievement of the short and long-term development objectives of Ghana.

On the contrary, it is argued that donors should minimise the use of the external consultants in the execution of development projects. There were different facilitators but 70% of respondents indicated the projects are facilitated by external consultants. The novelty of one of the projects might have contributed thus oil and gas capacity. As the most practical way forward, capacity development projects to contribute to sustainable development there should be a common model that can be adapted/adopted by all in capacity development projects.

## **6.6 Summary of the chapter**

This chapter has discussed the findings and the aim was to answer the research questions, and to achieve the research objectives. The chapter has been divided into two sections but each section has sub-headings. In the first section usefulness of the CD programme is explored. A considerable percentage of participants argue that the CD programme sponsored by the WB has had an impact on their individual, organisational and societal (country) as a whole. In term of the degree of effectiveness specifically the issue regarding the five core capabilities. The project addressed the issues on achieving coherence and balancing diversity, providing knowledge or skills, empowering participants better understand their role as an agent of change and application of knowledge acquired.

As discussed in the literature review, most of donor's projects do not produce sustainable development and also fail to address development issues. On the contrary, this project is considered as best fit and best practice to achieve economic, social and environment sustainability. As for the impact of the project on the development agenda of both country and organisation. The findings of the data analysis (chapter 5) support the notion of the significant impact of capacity development projects of the surveyed organisations (N=173, 74%) see table 4.16. In the next section the relevance of the capacity development support project will be discussed.

The second section: management practices. Participants indicate that their organisations require these management practices to help them achieve the set goals of the organisations. Chapter two argues that developing countries lack managerial skills and knowledge to plan, manage, implement and maintain their own development agenda. The comments expressed by participants suggest that concerns are not merely about the extent of management training and the quality or clarity of the training in the organisation could be improved. Participants

were of the view that the implementers of the CD programme adopted different strategies and activities. Some of the activities includes; distance learning, study tour, mix of video and face-to-face, and conference.

As argued above, there is no a common model for CD programme and each donor agency has their own strategy for the implementation of CD programmes. As compared to HRM/D, there is a model for the implementation of programmes. The next chapter is a model for CD programme that can be adopted/adapted by anybody or organisation for the successful implementation of CD programmes.

## **Chapter Seven**

### **7.1 Emergence of Capacity Development Model**

#### **7.2 Introduction**

Finally, based on the findings and considering the literature regarding capacity development concept, it is characterised by vagueness and generality. Current definition differs from one source to other, from a researcher to other and policymaker/s to another. However, these definitions focus on three aspects; centred on the understanding that capacity development efforts need to be considered from different perspectives (individual, organisation and society) that recognises the dynamics and synergy among various systems and issues at the different levels, as part of a broader unit rather than as loosely intertwined factors. The understanding of the concept in development is critical and its efforts, the concept encompass holistic levels (individual, organisations and society) and for capacity development to achieve the targeted objectives, efforts must respond to the relationship among these levels thus there must be a synergy. The levels must be considered as one systemic interlinked.

For capacity development initiative to achieve sustainable development results, programmes/projects need to adopt a participatory approach involving all levels and develop into empowering the levels for which they feel a high degree of ownership. In this sense, capacity development inevitably involves change, effectiveness, sustainability, capability and transformation of all levels involved. It has become a multi-faceted process in which the capacity of actors of the programme is strengthened. Sustainable development is about continuous economic development integrated with social inclusion and environmental sustainability.



As discussed above, capacity development encompasses institutional development but goes beyond individual organisations and institutions to broader systems, groups of organisations and societies. It addresses complex multi-faceted problems requiring the involvement of all levels simultaneously. Individuals operate within organisations, individual organisations function within a wider society, and these societies are governed by rules and regulations. Any capacity development initiative needs to recognise the interaction with other levels.

According to Blagescu and Young (2006) those who view development as people-centred and non-hierarchical believe that unless capacity development programmes are participatory, empowering partnerships for which those involved feel a high degree of ownership, intended results cannot be achieved. A participatory approach to capacity development can apply at most of the above levels, although the tendency, more often than not, is again on the individual. As a result, there is a danger that intervention which, for example, focuses on training, could be named capacity development because they were carried out in a participatory way though not necessarily contributing to the development of capacity in the sense that it has been developed. To make capacity development practical and achievable, donors need to internalise some of the principles learned about the concept within their own organisation and adapt their procedures.

Capacity development politics; must promote local ownership and control, need for mutual respect and tolerance, and the choice of intervention and partners to address the capacity gap. This involves all the levels and the start point is the individual or groups to drive the change or transformation process through organisations to the society. UNDP is an external actor in capacity development process, the simple question one can ask is, at what point through the process they can strategically influence. Explicitly or implicitly, the external actors will mop up some theory based on the levels and the successful achievement of useful results depends largely on the appropriateness of the strategy drawn.

Synergic interplay of these levels is critical in bridging the gap of capacity today and capacity for the future. Donors, understanding the systemic process of capacity development, the more strategic their intervention can be. The important interplay of these levels and their components and how they influence each other must be understood by all. These process and linkages play out at several different levels of society, from individual to organisations to society or national and processes. For example, according to Lavergne and Saxby (2001) how do capacity development programme at one level complement those at another? The respond is; capacity development at the individual or organisational level may not be of much use if there are systemic impediments to performance, such as poor incentives or lack of access to resources. Capacity development focuses on more than skills acquisition by a particular individual, organisation or government department.

Different capacity development programmes tend to become involved at different levels. For example, governments may pitch their analysis at the level of society. This may be done because of immediate concerns or past events, or because of their power of influence. Conversely, multilateral or bilateral agencies, like World Bank may be able to work with a group of organisations or government departments. Funding agencies working together, as proposed in the case study, can target entire sectors in a holistic manner, or take an even broader strategic perspective of capacity development, the way World Bank is doing. Addressing broad goals and issues such as accountability or improved management of services at the local level requires engagement with a wide range of players at different levels in both state and civil society.

As argued above, capacity development principles are based on;

- Broader participation and locally driven agenda to bridge capacity gap
- Developing on local capacities to achieve sustainability

- Ongoing learning, change, transformation and adaption
- Long term process of investment, and
- Integration of activities at various levels to address complex issues.

Based on the literature, capacity development concept is dispersing, achieving sustainable development require that the concept a holistic model that can be adapted or adopted by all in diverse environment. This research proposes a strategic capacity development model for sustainable development, and can be adapted/adopted by all in the field of development.

### **7.3 Strategic Capacity Development Model**

Capacity development concept draws on various methods, tools and techniques but these must be linked to the programme cycle. Capacity development relies upon varied strategies, not all of which are aimed at enhancement or creation of new capacity. Strategies in a capacity development programme vary from different organisations, institutions, donors and even policymakers. Going through the literature, the authors proposes a new strategic capacity development strategy that can be adopted and/or adapted by all. The process involves; the Input, the Process, the output and outcome. This strategy is considered a broad and having long-term perspectives about how appropriate policies and practices can be formulated to support the realisation of sustainable development. Like other donors' strategies capacity development strategies are embedded in the organisational strategy, principles and values. Importantly, it focuses on the provision of education, training and development but learning serves as glue that holds them together.

#### **7.3.1 Input**

This is the first stage, and also known as the policy level (policies and practices). Often assumption is made, on the part of donors, development practitioners, policymakers and

managers alike, that developing countries lack the capacity to plan, manage, implement and initiate development policies. As clearly stated above, capacity development is about change, effectiveness, capabilities and sustainability.

For example, it is assumed that before capacity development programme implemented there is a capacity needs analysis or capacity gap analysis done to ascertain the actual capacity deficit to be filled. Research has shown that the effectiveness of capacity development programme normally depends on strategic nature of the gap analysis. It should be noted that at the policy level, each donor has particular interest or focus but all are about change (values, attitude, skills, norms, knowledge, behaviour), effectiveness (development oriented targets), capabilities (the capability to act and commit, capability to deliver development objectives, capability to adapt and self-renew, capability to relate and capability to achieve coherence) and sustainability (not depending on external partners for support). To end this, it is envisaged that the policy level (policies and practices) implementers and beneficiaries as well as participants should be made adequately aware of the strategic nature of the capacity development programme.

It is assumed that capacity development aims and objectives are being effectively communicated to both implementers and beneficiaries, and all are aware of the strategic nature of the initiative. Indeed development aims and objectives which are formulated to achieve the set objectives. As illustrated earlier, research has shown otherwise. However, the utilisation only reflects the degree of the awareness of capacity development initiatives by implementers and not necessarily donor agencies. It has been observed that the degree of awareness of the nature and essence of donor policy followed by strategic aspects of capacity development programmes, the determining factor in establishing continuous learning and maintain a competitive edge through the acquisition of the right knowledge, skill and competence (Analoui, 2007). It is envisaged that following the formulation of capacity

development programmes, it is deemed it important that both implementers, as well as participants should be made adequately aware of the strategic nature of their education, training and other development initiatives. This also makes participants to become familiar with their learning activities in the context of achieving sustainable development. Learning is an essential component of strategic capacity development. Arguable, without learning the above are unachievable. Learning targets both the development of individual and teams in achieving sustainable development (Analoui, 2007). Capacity development players (donors, implementers, policymakers, beneficiaries and consultants) should recognise this to avoid waste of resources and efforts.

### **7.3.2 Process**

This is second stage, and also known as the activity stage. According to Analoui (2007) this is the intervention stage where conscious and deliberate, or set of activities to bring about change, effectiveness, capability and sustainability and the way generally things are done. It consists of three overlapping and broad sets of activities (education, training and development) which share a contextual background, namely, the learning. Learning provides the general context and acts as a common denominator for all capacity development activities. In many approaches the individual should remain the main concern of strategic development.

It is normally envisaged that after the policies and practices are formulated, implementers and participants are adequately aware of the strategic nature of their education, training and other development programmes. Thus awareness enables the participants to become familiar with their learning programmes in context of achieving development objectives (Analoui, 2007).

Considering these activities, education is clearly different from training and development. In the same vein development is a major aspect of the HR activities and is intricately connected

with individuals, organisations and societies. It is essential to consider these components as an integrated whole simple because a balance between all three ensures the satisfactory achievement of the results expected. Each component will be explored in some detail below:

HRD, as Wilson (2005) describe, is a title representing the new form of teaching, educating and developing humans for the purpose of contributing towards the achievement of individual, organisational and societal goals. Garavan (1997); Wilson (2005) defining HRD will be problematic because of international perspective, HRD meaning may vary from one country to another. Researcher, such as Armstrong (2005) conclude HRD is concerned with the provision of learning, development and training opportunities in order to improve individual, team and organisational performance. HRD is about the development of organisations and the processes for the acquisition of well-resourced and valued employees.

However, Johnson and Thomas (2007) education and training programmes tend to focus on capacity building in the individual learner, although organisations investing in such capacity building usually anticipate that there will be wider benefits from individuals' new knowledge and skills. Capacity building of employees in an organisation of all type is the bottom-line and elements of HRD are: learning, education, training and development are the perspective or model of HRD held by the HRM/D specialist within organisation (Garavan, 1997). According to Budhwar et al. (2002, p. 190) define HRD as “the process or activity aimed at equipping people with the skills, competencies and knowledge required to deliver their development goals.

#### **7.3.2.1 Learning**

As a result, some researchers such as Gold and Fisher (2009) subscribe to the belief that learning form the primary means employed to capacity development, which are integral to the achievement of the set goals through the use of information and knowledge. Learning

adopted as a way to enhance organisational response to growing customers' needs, competitiveness and decision-making (Analoui 2007; Armstrong 2005). Gold and Fisher (2009) note, learning for capacity development should target individuals or groups who are agents of change, able to stimulate innovation in their organisations to promote social goals and development principles throughout and beyond the organisation.

Analoui (2007) learning is a process that involves three stages: knowledge acquisition, skill practice and behavioural change, which can help employees to improve upon performance of job. Individual learning and organisational capacity development, there is still a linkage between these processes and there is considerable debate on academic learning and its expression in the workplace, however, Johnson and Thomas (2007) have pointed out it is too simple to think only of direct transfer of learning to the workplace. The tip of the iceberg represents codified knowledge while under the water is tacit knowledge with which new learning interact. Development practitioners must recognise the role of learning and differentiate the category of learners.

For learning to be effective and achieve the needed purpose, according Analoui, includes:

- Motivated learners feel a sense of purpose to learn and this direct individual effort
- Learning would be more effective if people are allowed to learn at their own pace
- Learners should feel safe to take risk because learning involves some degree of risk and failure
- Learners should receive constructive criticisms after the process
- When individuals have interest in the learning process, learners achieve maximum results, and

- Learning by doing facilitate and reinforce learning

As chronicled above, the processes of learning, Gold and Fisher (2009) points out that learning has challenges. In recent years, learning programmes have failed to progress from individual learning to organisational learning which helps employees to meet their development goals and most learning programmes do not meet the needs of society which are inadequate to capacity development strategies.

To meet these challenges learning strategies should focus on long term capacity which is embedded in a broader effort addressing capacity constraints. Gold and Fisher argue further that learning was only in the form of training but with increasing advances in technology, increase in adult learning and how learning contribute to the achievement of development, learning has taken different forms from the traditional programme to include mentoring, technical assistance, eLearning, coaching, peer exchanges and experience-based learning methods. Learning as an aspect of strategic development forms the basis for capacity development strategies (Analoui, 2007).

#### **7.3.2.2 Education**

As a strategy, competition and competitive edge are important for every nation or organisation. There has been recognition that education at the individual level helps advancement and growth which serve as the intellectual resource of these institutions (Wilson, 2005). Education is about the development of ‘life’ required in all aspect of our daily activities rather than the knowledge and skills acquired for particular area of specialization, Armstrong (2005), which is viewed as long term.

Strategy adopted by organisations, be it development or otherwise, to educate employees is by the inclusion of ‘education’ as an integral means of behavioural change in the description of training which Analoui (2007) describes as confusing because it tends to relegate the



importance of education. Analoui then differentiated education and training, the latter concentrate on development and maintenance of competency to accomplish task, which take place after recruitment and job assignment whilst the former is more concerned with the general growth and development of employees.

Wilson (2005) note, education of a country's population has not always been regarded as beneficial; there were believed to be some negative consequences of educating the population, Lusthaus et al. (1999) asserts that, where capacity is built there is both loser and winner because it's concerned in part with flows of funds and resources. Wilson further argued, enlightened society can increase subversion, insubordination, and people leaving menial tasks for other jobs. Using education as capacity development strategy should be distinguished from education to achieve country's development objectives. In such situation, achieving such goals is cost effective (Analoui, 2007).

### **7.3.2.3 Training**

Training is also seen as a systematic and planned instruction and structured activity to facilitate learning, which ensures that skilled, knowledgeable and competent people are maintained for the present and future needs of an organisation (Armstrong, 2005). Wilson (2005) has defined training as a planned process to modify attitude, knowledge or skill behaviour through learning experience to achieve effective performance in an activity or range of activities.

The perception of training is traced back to historic antecedent, where an apprentice works under the supervision of a master craftsperson for a year. The apprentice learns the skill of that occupation and would come out with a 'masterpiece'; today we have 'Master's degree in various Universities which require that students are conversant in that subject (Wilson, 2005).

Drawing on the work of Luthaus et al. (2004) on training and development, Analoui (2007) pointed out that, the increasing demand of HR as a competitive advantage in this dynamic economy, human and social capital are being touted in both theory, research and practice, training is central to most country's capacity development; it is a factor in the successful development of the human side. It is used to solve problems by bridging the gap between employees' current competencies and future competencies for survival.

Armstrong (2005) ascertains that training programmes may consist of a short training course, a series of training modules or fairly lengthy continuous period craft training, as in a modern apprenticeship. Researchers have noted that for training programmes to be effective there are two conditions that need to be met; criteria of transfer and the strategic nature of training. Analoui asserts that, employees must transfer the skill acquired through training or indeed any form of learning to the workplace. This constitutes the utilisation of the learning undertaken. Training, as strategy for learning, aims at achieving the business strategy of an organisation, in our case the strategy to achieve the sustainable development goals.

As argued earlier the objective of training, Analoui using the work of Armstrong (2001), Reichard (1998), Analoui (1994), Kenny and Reid (1986) concluded that the aims and benefits of training includes;

- Developing HR capacity of an organisation through learning and development opportunities
- Increased commitment of employees to result in organisation achieving its business strategy
- Making employees understand the concept of change, and
- Enhancing the development of employees

Training programmes are mostly used for capacity development for citizens to realise their potential and utilise it for development (Sobeck and Agius 2007).

Training and learning form part of capacity development approaches and these are helpful but not the panacea to meet all capacity development needs. There are many capacity needs that call for other types of support, and others that no external interventions, however well designed or implemented, can meet, which makes it necessary for effective analysis of environment influences an imperative. Berlin (2008) contends that training does not only address learning at the individual level, but must focus on wide capacity development effort to include capacity needs at the organisational and institutional levels.

#### **7.3.2.4 Development**

Development is about change which is obtained through training and education, and there is a close relation between ‘development’ and ‘learning (Analoui, 2007). Armstrong (2005) note, development is about the growth or realisation of a person’s ability and potential through the provision of learning and educational experiences. HRD enhances positively on organisation to attain business strategies focusing on HR as a major source of competitive advantage. Therefore, for an organisation to develop or achieve its business strategy, HRD policies should be strengthened which includes, training, education developing but learning forms the basis.

Developing agencies are advocating in strengthening developing countries capacity to bring about the needed capabilities to plan, implement and review their own national and local development strategies and meeting the target of S/MDGs (UNDP, 2008). To achieve these, capacity development requires a situation to create appropriate political and social incentives and mobilize strong political ownership and commitment.

Individuals have capacity which is waiting to be tapped through suitable opportunities and conducive learning climate for the people. This means that employees can contribute to the achievement of organisational goals, (Garavan, 1997 in Analoui, 2007). Where Silsbee (2005) in Analoui (2007) describe conducive learning as being able to think and solve problems and also recognise hidden issues.

Human capital in developing countries are least developed, poorly and mostly abused. Recent attention given to people issues has created awareness for the links between HRM/D policies in organisations. One of the challenges confronting developing countries is 'capacity' to plan, manage, implement and account for result, these are critical for achieving development goals.

Capacity development has also become the *modus operandi* for many organisations to meet clients' expectation and countries to counter their development challenges. Yet capacity development is accepted as a proven strategy for successful transformation and strengthening of organisations. According Otoo et al. (2008) the adoption of capacity development is factored by (1) the demand for tangible improvement to meet national and international needs and (2) the need of developing countries seek donor funding and assistance for development programmes and must adopt capacity strategies to be able to receive international assistance.

Strategic capacity development is seen by many development practitioners as thinking broadly and having long-term perspectives about appropriate policies and practices that can be formulated to support the realisation of country's development objectives in a sustainable manner, like other development agencies which have capacity development component embedded in their programmes. In this way, it helps to ensure that the developing countries attain their development objectives in a sustainable way. Previously the attention was on training and TA but strategic capacity development must focus on the provision of education,

training, learning and development opportunities aimed at building and improving individuals, organisations and societies to attain sustainable development (Analoui, 2007).

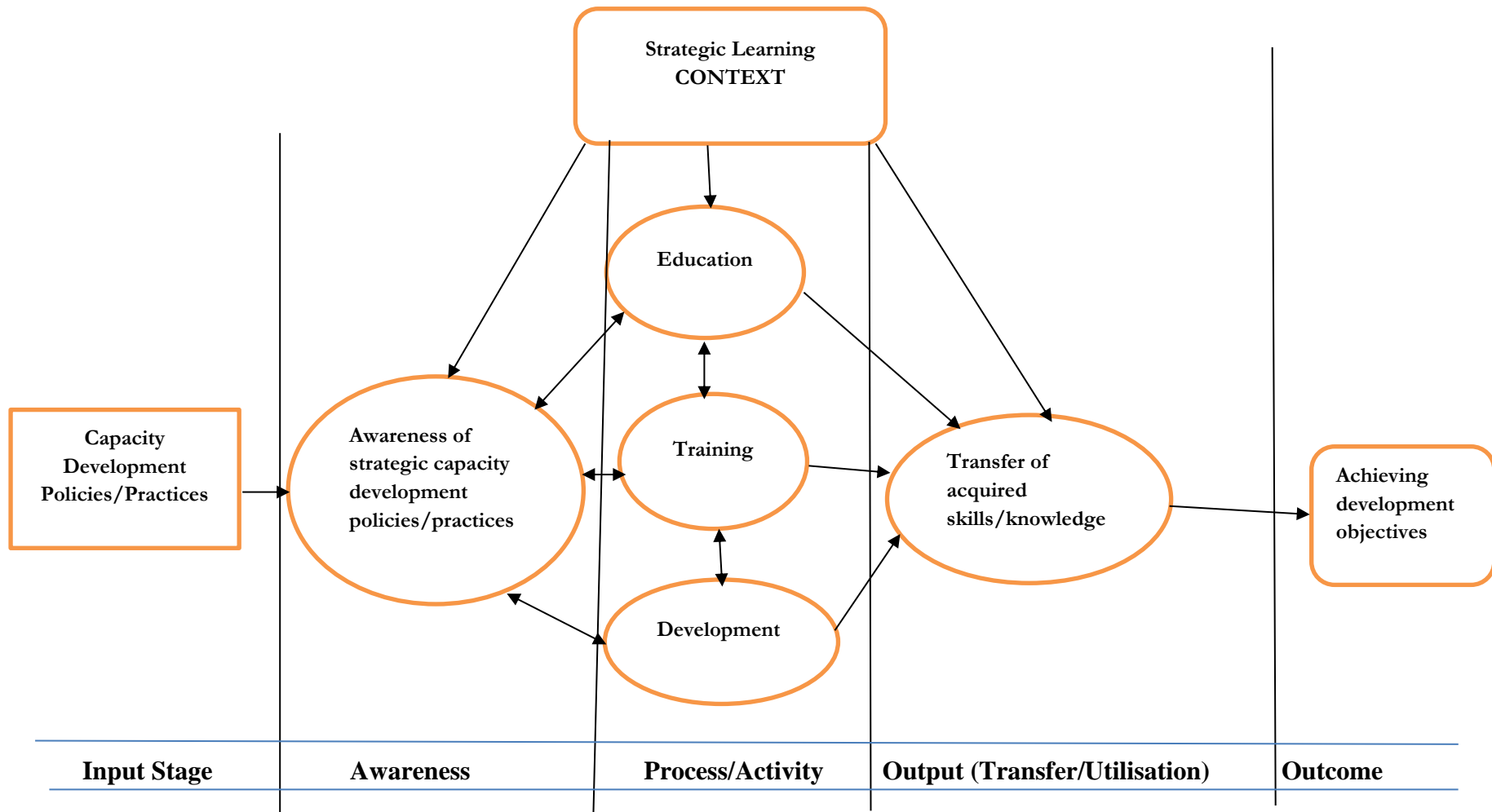
According to Analoui (2007) the provision of learning opportunities in any organisation is the starting point for driving HRD policies, strategies and practices to meet the business and human resource needs of the enterprise. By implication Analoui's description suggests enhancing resource capability with the conviction that country's resources (individual, organisation and society) are major source of securing a sustainable development within the context of systematic advancement. Arguably, development practitioners believe that once, for example, training programmes are implemented the acquired learning will automatically be transferred to the job environment. In other words, it is commonly but falsely believed that transfer from learning to behaviour, attitude and action is a matter of course (Analoui, 1998; 2007).

#### **7.4 Output**

This is the third stage, and also known as outcome stage. It is assumed that not only training but also all the three activities (education, learning and development) do not automatically lead to positive transfer. Arguably, transfer constitutes the biggest skeleton in the cupboard of training, education and development. Applied to capacity development transfer makes or breaks the results. Transfer can either be positive or negative. This is *sine qua non* in determining the effectiveness of the outcome. It is noteworthy, that one of the most important roles of capacity development is ensuring the attainment of sustainable development through the provision of education, training and development. Strategic capacity development programmes will develop an individual to be capable of managing an organisation in a dynamic society to achieving a sustainable development.

The three levels of capacity development include; individual, organisation and society but considering the literature there are different perspectives. These perspectives are based on the organisation's principles and values. The strategic capacity development is a dynamic and synergic which can fit into any environment or organisation, and development agencies can adopt or adapt in the implementation of capacity development programmes. Below is the model for strategic capacity development.

**Figure 7-1: Strategic Capacity Development Model**



Source: Researcher's compilation

Training is traditionally used for capacity development processes which encompasses learning, this is grounded in the belief developed countries have knowledge and skills that developing countries can acquire through training. Learning brings about improvement in attitude, understanding, information, behaviour, values, knowledge and skills. However, it has been demonstrated that both training and learning has its own limitations, on simpler situations, capacity needs requires Results-based management (RBM) which involves predetermined capacity development results. The relevance and usefulness of RBM decreases as the complexity of the system increases, the complexity theory depicts that capacity development results cannot be predicted and systems will decides for itself or change in its circumstances. The capability to learn is an essential tool for sustainable capacity development.

It has been recognised that capacity development in developing countries helps to facilitate the transformation of the country and subsequently helping citizens benefit. The strategic model of capacity development, at the process stage all the three levels of intervention is considered. The individual, organisation and society should be treated as a single entity. For example, the World Bank capacity development project (Local Government Capacity Support) for Ghana in 2010, which focuses four strategic areas of the local government systems. They include; strengthening the fiscal framework for decentralization, enhancing decentralized urban service delivery, stimulating demand for accountable local governance and service delivery, and institutional and project management support. The development process in modern society characterised by their open systems, is considered a circular continuous cycle consisting of people working in an organisation aiming to reaching specific objectives in a sustainable manner (Analoui, 2014). The open system is more prevalent in modern society and capacity development must tow to that system.



For capacity development effort to be sustainable, programmes and projects need to adopt a participatory approach and develop into empowering partnership for which those involved feel a high degree of ownership. In this regard, capacity development involves change, capability, sustainability and effectiveness of all levels (individual, organisation and society) involved. It becomes a two-way process in which the capacity development of levels on both sides of the programme/project is strengthened.

HRM activities are used in supporting development goals, for example to strengthening state institutions/organisations and performance by attracting and retaining capable workforce, strengthening anti-corruption regimes and increasing employees involvement. HRM for development focuses on decentralization, achieving objectives and integration all sectors, however, the most important issue is the capacity and appropriateness of adopting a particular approach. The most concerned issue according to Berman (2015) donors are pushing developing countries to adopt best strategies that do not fit their context. It is evident that successful strategies are found in many countries that have a more effective and efficient institutions/organisations.

## **7.5 Summary of the Chapter**

There is no doubt that capacity development is synonymous to development and all efforts are made in achieving sustainable development in developing countries. There is also a general believe that building the knowledge base, skills and capabilities of individuals are important component in realising sustainable development. It can be said that capacity is at three levels (individual, organisational and enabling environment), the easiest demonstration is at the individual level, where people gaining skills and knowledge can command a higher income, and at the highly aggregate level where the quantum of skills and knowledge in the population predict the income level of the population.

Capacity development support has been effective, where external and internal operations were supportive. However, for sustainable capacity development it is crucial that donors reconsider their politics and practices in such a way that they facilitate endogenous capacity development, local resourcefulness, and down-ward accountability. Such demand may require a fundamental reconsideration of present-day donor policies and practices, including political economy aspects of the aid business.

The summary of findings and discussions on the above questions are below:

- The capacity development project was about helping the involved organisations meet international and national development goals.
- The surveyed organisations have already adapted the MDGs strategy into their long term development objectives, therefore the project fit into their organisational objectives.
- The capacity development project recognises both the organisational and country's needs by covering topics that addresses both needs.
- Regarding implementation, the World Bank provided funding whilst the beneficiary ministries supervised the implementation adhering to the agreed principles.
- More than half of the facilitators of the project were external consultants. Therefore this defeats the basic principle of capacity development.
- The organisation involved in the project require management development programme
- Capacity development involves all HRM activities

- All organisations do rarely demonstrate well-round competencies. Some organisation demonstrating high level of technical capacity.
- Majority of the sampled do not involve staff in decision-making process.
- The sampled organisations adopt the team and group strategy in achieving organisational set objectives.
- The coming together of individuals, organisations and societies to realise developmental objectives are the core principles of capacity development.
- The studied two capacity development projects placed emphasis the project engaged people who have the ability to learn and also have the capacity to adapt to change and innovation.
- The project revealed that all age type and gender were involved and there were no preference. Preference was for those in management and where the initial capacity assessment identified gap and male dominated working environment.
- The results revealed that the project involved workers who have attained higher level in education. This support the general knowledge that capacity development activities involve change agents and learners who can facilitate development initiatives.
- The implementers of capacity development project are concern about the effectiveness of the project in helping participants equip themselves for development challenges. Effectiveness is not a blue-print but the improvement of capacity which was identified at the initial capacity gap analysis.

- The study has shown that there is a shift in ideology from the previous concept of technical cooperation to concept where learning, education, development and training forms the basis of capacity development that enhances human development.

## **Chapter Eight**

### **8.1 Summary Conclusions**

### **8.2 Introduction**

With the growing recognition from policymakers, grant-making bodies and international development agencies, capacity development has been the principal tool for investing in human and marginalised individuals and groups to enable them develop the capacities needed to thrive, and to play an autonomous role in developing and renewing their development agenda on a sustainable manner. There is no doubt that capacity development is synonym with development and a crucial determinant of all development. It is at the centre of all development activities and at the heart of all international development agencies without adequate capacities development is impossible. And capacity of individuals and organisations are always fused in a social and institutional context which interacts through formal and informal processes.

Adequate impact analysis for capacity development must therefore recognise these three actors (Individual, organisation and society) in a systemic and interactive manner. In spite of the significance of capacity development, especially in the development discourse, there are known impact assessment of capacity development and are normally assumed successful. Hence, the present study takes critical steps to assess the impact of capacity development to clarify the significance of helping developing countries achieve sustainable development.

In this research the impact of World Bank's sponsored capacity development in Ghana has been investigated. Chapter one introduction to the subject of the study (research background, problem, objectives and questions) was discussed. Chapter two reviewed the literature about the development of human resource management, development management, capacity

development and building, the uses of capacity development in the development discourse, development projects, the role of World Bank and UNDP, capacity challenges, and concepts and technique for impact evaluation. Moreover, different definitions and concepts have been provided. Chapter three provided historical and social-economic development about Ghana and its development strategy. Additionally, the chapter discussed sectoral and institutional context of the project.

The chapter also provided a vivid account of the World Bank country assistance strategies and capacity building programmes for Ghana. From this perspective a conceptual framework formed the basis from the research questions and objectives were developed. To achieve the research objectives and to answer the research questions, a well-developed research methodology was presented in chapter four. In this chapter, the research design and strategy adopted were described. Chapter five discussed the data generated from the field – descriptive data analysis. This chapter concerns with the descriptive analysis of the data collected such as percentages, frequencies, means and cross-tabulations. The chapter six is the main findings of the research. The chapter attempts to interpret the research findings with reference to the research objectives and questions. The data analysis points to the fact that there should be a model for sustainable capacity development. Chapter seven explains the emerged model for strategic capacity development for sustainable development.

The current chapter being the final chapter summarises the findings of the research. The chapter attempts to summarise the main findings and the contribution of this study with regard to the existing academic theory, policy-makers, development theory, and implication for achieving sustainable development in developing countries are examined. In the last section of this chapter is the limitation of the research is presented and recommendation for further studies is provided.

### 8.3 Main findings

The objective of this research is to explore the impact of capacity development programmes, how capacity development programmes have been strategically implemented in Ghana, and what are the strategies, approaches, methods, tools and techniques have been utilized in the process. To be able to achieve this objective, the following questions need to be answered;

- **To what extent does WB adopt capacity development strategy for implementation of development programmes?**

The WB places much emphasis on capacity development strategy in the implementation of development programmes. It is evident from the projects documents, questionnaire and the interviews. This strategy is at the heart of the WB to make sure all their development programmes have a major component termed as capacity building/development. The WB believes that an enhanced capacity is central to developing countries development and decides that as a goal in its own right. They are shifting broad strategy framework from TA to country assistance strategies identifying capacity as a core objectives and long-term capacity needs.

The strategy also includes multi-sector projects across ministries and departments of government to identify capacity needs linked the countries long-term development. For example, the project OGCBP has nine (9) institutions that are working to toward the achievement of Ghana's long-term development. Secondly, the LGCSP also involve forty-six (46) MMAs across the country with the same objectives. Major projects of the WB have capacity development embedded in their operational components which are for change. The WB has not developed body of knowledge on what tools should be applied in different circumstance, and that is why the research has developed a strategic capacity development model which can be applied in all situations.

- **How capacity building/development has been implemented in the past?**

There has been a considerable effort by all players in the field of development to improve on the implementation strategy of capacity development programmes. Capacity development is being considered as a demand-driven, where country/ies would identify their own capacity gap which is linked to their long-term development objectives. Capacity development is not stand-alone projects but integrated programmes that seek to bring about change, sustainability of programmes, effectiveness and improve on the capabilities of individuals and groups for long-term development.

It can be argued that is there considerable effort to shift from the supply-driven strategy but there are still some components missing in the current demand-driven strategy. For example, in this current research 73% of the respondents indicated that the facilitators of the programmes were undertaken by external consultants and few indigenous experts were involved. Moreover, the use of short-term experts does not build on existing capacity and do not bring sustainable development. Ghana has had considerable experience local government since the pre-independence era and it has been part of the country's way of life, its heritage and culture. On the issue of oil and gas Ghana's discovery calls for capacity building from scratch, there is an acute shortage of technical skills at all levels to build and run the industry.

- **How capacity development programmes have been implemented in Ghana?**

Ghana's strategy to increase the capacity of individuals, organisations and societies are linked to the long-term development objective and to achieve sustainable development. The strategy involves capacity gap analysis which is done by the head of HR department; there is a periodic need assessment to determine the current skills, knowledge, attitudes and values of employees in the department. In the local government services, the department head submit their report to the head of the local government authority for review and later a



comprehensive programme is been drawn to meet the meets of staffs. The programme is planned to meet the individual, organisational and societal needs bearing in mind the present and future capacity for the organisation. The gap analysis determines the present and the desired level of knowledge, skills, attitudes and values which ought to be addressed. This is done annually.

The current research indicates that the 56.58% of the organisations are effective in achieving their objectives. Acquiring knowledge, skills, and changing of attitudes and values are done through education, training, development and learning. The literature argues that these elements bring about the capabilities expected of employees now and in the future. However, capacity development strategy is not only about acquiring knowledge, skills, attitudes and values but it is also about giving the individuals and organisations the right tools and equipment to function. These include changing existing laws and regulations, providing computers, officer and other things.

The approach to capacity development in Ghana is not all fit approach but the best fit, for the programme LGCSP involves community organising, top-down organisation, bottom-up organisational and partnership, whilst the OGCBP involves different institutions/organisations, community, system approach, participatory process and partnership approach. Capacity development is well structured, delivered and embedded in the long-term policies and programmes of the country. This meant that capacity development programmes are often prepared for implementation for specific reason and purpose. The WB constantly supports and monitors these projects which are implemented and managed through national systems and processes rather than project implementation units.

- **How does the WB in developing countries perceive capacity development process including policy goal, strategy formulation, implementation and impact assessment strategy?**

The WB as any other development agency places much emphasis on Capacity development being at the centre of all development programmes either at the national or local levels. The WB has developed a systematic approach and set of tools for capacity development which is very rigorous and flexible to monitor and manage interventions and assess their results. The Bank focuses on development goals, institutional/organisational effectiveness, change agents, a ICOs and capacity development interventions.

The WB plays a critical role of connecting practitioners, networks and institutions to help them find solution to the development challenges. The branch responsible for such action is called CDRC. They also develop a wide range of customized programmes and knowledge products that responds to specific needs. The purpose is to connect knowledge, learning, and innovation in capacity development for the benefit of the development community and results-oriented approach.

In Ghana, the WB liaises with the government for the development of the country and also assists in the planning and development of programmes. Development partners have formulated a Ghana – Joint Assistance Strategy (G-JAS) to support government's development agenda. The WB's specific programme of support under the G-JAS provides an explicit commitment to make available analytical and financial resources to strengthen governance through activities urban policy, public sector reform, economic governance and promoting evidence – and result – based public policy choice. The WB and the GoG have developed a tool called FOAT. The tool provides MMDAs incentives to operate according to national standards and laws.

- **What is the impact of capacity development programme in achieving SDGs and other development goals?**

On the question of the impact of the capacity development programme, the researcher categorised the impact under the five core capabilities. 62.4% respondents indicate the programme has helped them to develop partnership, build coalition and contacts in their perspective field. On the question of the programme raising participants awareness and understanding of the country's development issues, 59.3% answered the programme has had a high impact.

The second core capabilities develop strategies or approaches to address the needs of your organisation and country, 63.8% and 63.1% respectively for organisation and country. On the issue of the programme providing beneficiaries with the right knowledge and skills, 69.4% indicate that the programme had high impact. 63.6% of respondents indicate that the programme has helped to achieve diversity and coherence, and on the issue of empowering beneficiaries better understanding their role as an agent of change in their country's development, 58%.

The acquired knowledge and skills were used in conducting research, raising public awareness in development, collective initiative, influencing legislation and regulation and country's development strategies. When it comes to implementation of community development strategies, 50.3% of respondents have used the knowledge and skills in that direction. The overall usage and the effectiveness of knowledge and skills in the field of development were 56.9% respondents.

The impact of the programme on the development agenda of both respondents' country and organisation, and the notion of the significant impact of capacity development projects of surveyed organisations (74%). On the issue of achieving the S/MDGs, 62.52% of respondents

agree that the programme would help them achieve these internationally agreed principles. The current research confirms that the capacity development programme is about given participants with the adequate skills, knowledge and values to develop and plan their development objectives. 62.57% respondents indicate that they have utilized/used the skills, knowledge and values acquired from the project.

The capacity development programme has addressed the issue of change, capabilities, effectiveness and sustainability, because 64.05% of respondents show that they needed the programme and its came at the right time. 51.8% of the respondents agree that staff when their organisations were selected for the project, the organisations now work in terms and groups to achieve the needed objectives. The research also show that there is no association between respondents age and previous experience with capacity development, and the project involves series of activities including distance learning, study tour, mix of video and face-to-face and conference.

The research concludes that the capacity development programme has positive impact on the country's short/long-term development objectives and both individuals and organisations have also helped to bridge the capacity gap for sustainable development. The programme addresses the indirect or direct critical development agenda and the strategy adopted is the best fit and best practices.

- **What are the main characteristics of an effective capacity development model in Ghana?**

In Ghana, capacity development programme is an evolving and consultation processes which involves series of activities. The process is not one fit but the best fit for a particular programme/project. To explore the main characteristics of an effective capacity model in Ghana, the following are the main characteristic:

- There is a broader consultation between all stakeholders and development partners
- Consultants or experts identifies the capacity development gap
- All stakeholders discusses the final report from the consultants/experts
- A programme is drawn to meet the requirements of the report and this involves all the identified institutions/organisations to fact their individual needs.
- The government consults the various development partners for support and assistance
- The development partners also make contributions to the implementation of the programme and they monitor the implementation processes. The development partners appoint an expert to work with the implementing institutions
- The implementing institutions may use their internal expertise and where are no experts they may hire external consultants
- The implementing institutions/organisations uses FOAT to assess beneficiaries (individuals and institutions/organisations)
- The stages of the processes are: input, awareness, activity, output and outcome.

It can be noted that these stages are not linear but an interactive processes where an activity in one stage can run into another stage. The process is about ongoing learning and adaption of new skills, knowledge and values.

- **To what extend will capacity development programmes help Ghana achieve its development goals?**

In the analysis of the impact of the capacity development programmes, it needs to be emphasised that the majority of the respondents showed a positive impact on the individuals,

organisations and societies. Based on the recognition, the research output should be interpreted. Considering all the findings from the analyses, the following main points were concluded:

1. Maintaining positive perception for the capacity development programme
2. Beneficiaries maintain that the programme has provided them with the needed knowledge and skills for implementing development agenda
3. Respondents maintain that the programme has addressed issues concern with the development agenda and also making them play the role as a change agent
4. Workers have also maintain that the skills, knowledge and values acquired have help in their work
5. On the issue of the core capabilities, respondents have the perception that the programme had empowered them with these capabilities
6. Beneficiaries maintain that the programme addresses the principles of M/SDGs
7. Workers also acknowledge that the programme has address their organisational management deficiencies by providing them with the required skills and knowledge

#### **8.4 Practical implications for development**

Capacity development has become central in all development activities and significant in all developing countries development programmes. Ghana has benefited from the international development programmes which capacity development is embedded. The international community considers Ghana as an icon in Africa considering its democratic credentials and its effort to achieve the international development goals and accelerated development for sustainable development. Chapters one, two, three, four and five discussed the vital role of

capacity development in developing countries to achieve sustainable development. Its highlighted some of the problems and confusions associated with the capacity development concept, however, most development practitioners, academicians and the international community agree that the concept plays a critical role in helping countries to achieve their development objectives on sustainable manner. Moreover, they help in building national infrastructure and economic sectors such as local government, oil and gas, education, healthcare, agriculture and intellectual life.

It is argue that, in the absence of capacity development programmes many developing countries including Ghana will not be able to achieve many developmental objectives for example in the field of good governance and oil and gas development. Capacity development programmes account for about 20% of all international development programmes and these investments are made in the areas education, healthcare, agriculture, legislation, human right, oil and gas, democracy, technical assistance, manufacture, security, housing assistance, elections, media and charity. These projects have been pivotal in Ghana's advance and the international community should continue in supporting Ghana in that direction but such projects should be scrutinized to provide transparency and accountability, and value for money. However, Ghana should not become dependent upon international development aid should develop strategies to develop without these assistances.

This research did attempt to search for a practical approach toward the achievement of sustainable development using capacity development programmes. The findings provide evidence that capacity development programmes are relevant in national development and sustainable development.

## **8.5 Theoretical implications for development**

The current research findings contribute to present international development cooperation in the field of sustainable development. A number of approaches related to the concept have been developed since the introduction; however, these studies are mainly conducted under institutional organisational settings. Hence, the present Ghana capacity development programmes study will be the first contextualise the study in an international development cooperation settings; moreover, because of the different approaches from different institutions, this research showed a positive impact on the development agenda of Ghana. Regarding impact of the programme, there are probably other contributing factors that contributing factors that require further research.

In addition to the above major contribution, considerable impacts were also made on development theory, development projects and aid effectiveness. Especially, this research's new model for strategic capacity development will assist capacity development strategist understand their role and the activities and stages involved in the process. The findings support the general literature that capacity development programmes should be a local driven process, and concerning the theory, the findings confirm that capacity development process involves stages (input, awareness, activity, output and outcome) with several activities but learning forms the basis of all these stages.

In light of the findings of this research in presenting the strategic capacity development model for sustainable development some prescriptions which may be useful for academic and practitioners in the field of development are provided. Derived from the strategic model developed in this research and the empirical study, the researcher's expectation is that this prescribed strategic model will be helpful to countries and development communities in achieving their national and other international objectives. The model developed here



constitutes the first attempt in developing a frame for strategic capacity development programmes.

## **8.6 Limitations of the research**

This research has its own limitations as similar to other social science research, and this prevents researchers to make generation of findings. The first limitation of the research is the area of its focus, namely Ghana as a developing country. Researching in development programmes is a difficult area due to the low level of technology, poor recording keeping and difficulty in generating data. This informed the use of two case studies as well, the researcher did not have access to some projects and the difficulty of visiting various organisations in relation to willingness to provide information. It can be concluded that the findings of this research may be not generalized to the larger population of all developing countries.

The second limitation of the research was that the researcher could not access some of programmes implementers due to their tight time schedule. This situation prevented the researcher to have sensitive information about the programme, such as financial data and other documents forming the basis for the WB to finance the programmes. Due to these, the researcher could not determine the cost benefit analysis, and relationship between the impact and cost.

The third limitation, as stated in chapter four the research methodology has its own limitations. The data generation method has its own merits and demerits. The researcher seeks professional and academic advice for the data generation and analysis of the survey achieved very high results which might raise questions regarding validity and reliability. The use of reliability and validity of data was tested before data analysis was done. The researcher met all the required standards and conditions for this research, and the findings are justified and useful.

The fourth limitation, this research did not fact in the external environmental factors. In developed countries the socio-economic situation is different from developing countries. Thus, this is not stable and has considerable influence on development programmes. The evidence from the field indicates that there is a strong working relationship between donors and government workers because of trust and accountability, unstable socio-economic factors influence this cordial relationship. Nevertheless, all development projects are exposed to external risks, reinforcing donor organisations by changing their perception and terms of conditions. The researcher having stated the above limitations; is issuing a caution in utilising the results of this research without further confirmatory studies to prove or disprove the findings.

### **8.7 Suggestions for further research**

Despite the findings and limitations of the research some of the future study potential is stated below. The research has contributes to the understanding of a neglected and poorly-understand concept within the development field: capacity development' in the context of human and organisational sustainable development. This research expanded and contextualised the impact of capacity development programmes in developing countries in the context of achieving sustainable development. This research provides an empirical data on the significance of donor funded projects.

First, more research under different settings, especially programmes from different donor agencies, will be required. Impact assessment studies have been conducted mainly within individual organisations, while this research was done on WB programmes. In order to generalise the research, more cases are required.

Second, it has been stated in the research limitations that the researcher could not have access the financial details of the programmes. Therefore, the next study should be able to determine

the cost benefit analysis of donor programmes, and also apply different research methods to determine the economic impact of the programmes.

Third, the research was focused on Ghana with WB programmes, and this research recommends that a number of comparative studies west Africa and several other countries such as developing countries around the global.

Fourth, this research focused on impact assessment of capacity development programmes in Ghana sponsored by the WB, the researcher request that further study should be carried out involving development programmes from different sectors of the economy, and also involving developed and developing countries.

## **8.8 Contribution of the research**

This research provides the first opportunity to study and survey capacity development programmes in developing countries, and also presents an important contribution theoretically and practically for development practitioners. The descriptive sampled programmes give significant contribution to knowledge in their own right and the selected donor agency (WB) in Ghana is a significant contribution to knowledge. Also, this research develops a model for strategic capacity development in achieving sustainable development in developing countries and fills a gap in the international development literature. Practically, this research provides policy implication for donors in implementing capacity development programmes.

The research presents development practitioners a framework for designing and implementing capacity development in developing countries. The model has provided a framework for implementers to improve their strategy in implementing capacity development programmes. Finally, the research presents guidelines for policy makers to reconsider their

position on capacity development and also has provided a foundation for practitioners to develop on the model.

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## APPENDIX – 1

Research Title: **World Bank's Capacity Development/Building Programme in Ghana.**

This research seeks to explore World Bank's programmes in Ghana. I will appreciate your participation in the study. It takes approximately 30 minutes to complete the questionnaire. Please read the questions carefully and tick the appropriate one. There is no RIGHT or WRONG answer to the questions asked, as different entrepreneurs have unique ways of managing their businesses. When complete, please kindly return this questionnaire to the field officer who is handling it in to you.

As we do not ask for your name, you are guaranteed complete confidentiality and anonymity, only general findings from the study will be reported. The data generated will be used for the purpose of the research and your opinion is very important for me to accomplish this research.

### SECTION 1: About you

#### 1. Age

Up to 20              B. 21 - 30              C. 31 – 40              D. 41 – 50              E. 51 and above

#### 2. Gender

A. Male              B. Female

#### 3. Educational Background

A. No formal education              B. Primary              C. Secondary              D. Tertiary

If Tertiary, please state below

A. Diploma/HND              B. First Degree              C. Masters              D. Doctoral

#### 4. Have you had any previous experience in capacity development/building? Yes or No.

If “Yes” answer question 1.6

**5. How many years have you been associated with capacity development/building programmes?**

A. 0 – 5years B. 6 – 11years C. 12 – 17years D. 18 – 22years E. 23years and above

**6. What is your position in the organisation? .....**

What are your roles/duties in the organisation?

.....

.....

.....

.....

.....

**7. Which of the following best describes the organisation in which you are working? Please tick**

A. University/research institution B. Non-governmental organisation (not-for-profit) C. Media D. Private sector E.  
National/central government F. Regional government G. Local government H. Other, specify.....

**8. Which of the following best describes the functions of your Organisation? Please tick**

Research B. Teaching C. Policy making/legislation D. Management/administration E. Provision of services (e.g., financial, health, etc.)  
F. Other, specify: .....

**SECTION 2: Organisational Effectiveness**

**2.1 Please rate the effectiveness of your organisation on the scale below. Please tick**

None Little Average High Very High Don't Know

1 2 3 4 5

**2.2 Does your organisation have clear overall strategy/vision/mission/values? Yes/No**

**2.3 If “Yes”, please rate the extent to which this strategy drives the work of the organisation? Please tick**

None	Little	Average	High	Very High	Don't Know
1	2	3	4	5	

**2.4 Please rate the extent to which staff of your organisation work efficiently across teams. Please tick**

None	Little	Average	High	Very High	Don't Know
1	2	3	4	5	

**2.5 To what extent are staffs involved in decision-making process?**

None	Little	Average	High	Very High	Don't Know
1	2	3	4	5	

**2.6 Does your organisation have legal status? Yes / No**

**2.7 Which one of the following legal forms best describes your organisation?**

NGO B. Community based Organisation C. Limited liability Company D. Partnership E. Other (please specify).....

**2.8 Does your organisation have office premises? Yes / No**

**2.9 How do you describe capacity development/building?**

.....  
 .....

.....  
 .....

**2.10 Does your organisation provide you with the needed support/logistics to function? Yes / No**

If “YES” in what ways?

.....  
 .....  
 .....

**SECTION 3: Management Practices**

**3.0 Please rate the extent your organisation requires CAPACITY DEVELOPMENT/BUILDING programme/training under the following organisational/managerial practices in the table below, please tick where appropriate.**

Management Practices	None 1	Little 2	Average 3	High 4	Very High 5	Don't Know 6
Information system/technology						
Administrative						
Personnel						
Planning						
Programme Development						
Programme reporting						

Human Resource Development						
Staff Recruitment						
Supervisory (Roles/Responsibilities)						
Skills and Experience of Staff						
Financial planning/budgeting						
Funding approach/raising/development						
Communications plan						
Collaboration with NGOs/organisations/donors						
Government relationships						
Media collaboration						
Programme design						
Performance evaluation/impact						
Programme relevance						
Monitoring of environment						
New programme development						
Organisational capacity for campaign/advocacy at the national level						
Campaigning planning						

#### **SECTION 4: Relevance of WORLD BANK's capacity development/building programmes**

**4.1 Does your organisation receive capacity development/building programme from World Bank? Please tick**

Yes/No

**4.2 If "Yes", how often do you receive such programme?**

Occasionally      B. Weekly      C. monthly      D. quarterly      E. Annually

**4.3 Please state the date the last capacity development/building programme was organised?**

.....

**4.4 Do you have any idea the date the next capacity development/building will be organised? Please tick Yes/No**

If "Yes" Please state the date? .....

**4.5 Has your organisation approached WORLD BANK for such programme? Please tick Yes / No**

**4.6 How was your organisation approached by WORLD BANK for the capacity development/building programme? Please tick**

A. Your organisation requested from WORLD BANK    B. WORLD BANK invited your organisation    C. advertisement was made and your application applied    D. it is government initiative

**4.7 Where was such programme carried out? Please tick**

At your organisation's premises    B. WORLD BANK's premises    C. neutral premises within Ghana    D. Outside Ghana

**4.8 Who sponsored the programme? Please tick**

Your organisation    B. WORLD BANK    C. Government of Ghana    D. Partnership between government and WORLD BANK    E. partnership between your organisation and WORLD BANK    F. Others, please explain.....

**4.9 How many people from your organisation participated in the programme? Please tick**

0 – 10      B. 11 – 20      C. 21 – 30      D. 31 - 40      E. 41 and above

**4.10 Who were the facilitators for the programme? Please tick**

A. Staff from your organisation   B. from WORLD BANK   C. Government staff      D. External consultant   E. Don't Know

**4.11 How long was the programme? Please tick**

About a week      B. 1 – 2 Weeks      C. 3 – 4 weeks      D. 4 – 5 weeks      E. Six weeks and above

**4.12 Since the end of the programme, to what degree have the acquired knowledge, skills or competencies and values acquired been utilized/used? Please tick**

None	Little	Average	High	Very High	Don't Know DK
1	2	3	4	5	

**4.13 To what degree the topic covered in the programme been relevant to your organisation needs? Please tick**

None	Little	Average	High	Very High	Don't Know DK
2	3	4	5		

**4.14 To what degree the topic covered in the programme been relevant to your country's need? Please tick**

None	Little	Average	High	Very High	Don't Know DK
1	2	3	4	5	

**4.15 Was the programme designed specifically for participants of your organisation? Please tick    Yes      No      don't know**

The table below contains the eight goals of MDGs which developing countries should achieve by 2015

**4.16 Was the programme related to your country's development goals (Millennium Development Goals) listed below? Please tick**



Eradicate extreme poverty	Yes	No	Don't know
Achieve universal primary education	Yes	No	Don't know
Promote gender equality/empower women	Yes	No	Don't know
Reduce child mortality	Yes	No	Don't know
Improve maternal health	Yes	No	Don't know
Combat HIV/AIDS, malaria and other diseases	Yes	No	Don't know
Ensure environment sustainability	Yes	No	Don't know
Development global partnership for development	Yes	No	Don't know
Ensure water sanitation and supply	Yes	No	Don't know
Improve investment climate/finances	Yes	No	Don't know
Promote trade	Yes	No	Don't know
Develop a global partnership for development			

**4.17 Please can you state some of the topic that was discussed during the capacity development/building programme?**

.....

.....

.....

.....

**4.18 Did you like the programme? Yes / No**

#### 4.19 Any suggestion?

.....

.....

.....

### SECTION 5: Usefulness of the Capacity Development/Building

**2.8 Please rate the degree of effectiveness of the activity in each area noted below (If the area was not an objective of the activity, please mark “not applicable.”)**

Areas	Non e 1	Littl e 2	Averag e 3	High 4	Very High 5	Not applicable 6
Helping you develop contacts, partnership and build coalitions in the field						
Raising your awareness and understanding of the development issues important to your country						
Helping you develop strategies or approaches to address the needs of your organisation						
Helping you develop strategies or approaches to address the needs of your country						
Providing you with knowledge or skills						
Helping you better understand your role as an agent of change in your country’s development						

Comments:

.....

.....

.....

.....

.....

**2.9 How would you rate the impact – brought by the programme – in the main topic or issue addressed? Please tick**

None	Little	Average	High	Very High	Don't Know DK
1	2	3	4	5	

**5.3 How often have you used the acquired knowledge and skills for the following purpose? (If you have not worked in the given areas since this activity, please mark “Not applicable.”)**

Purpose	None 1	Little 2	Average 3	High 4	Very High 5	Not applicable 6
Conducting research						
Teaching						
Raising public awareness in development issues						
Implementing new practices within your work organisation						
Organizing collective initiatives						
Influencing legislation and regulation						

Implementing country development strategies						
Implementing community development strategies						

**2.10 To what extent did the following factors help the process of utilising the knowledge, skill and value that you acquired at the activity? Please tick**

Factors	None 1	Little 2	Average 3	High 4	Very High 5	Not applicable 6
Your work environment (work procedures, colleagues, incentive system and funding)						
Your country's development environment (country policies, social group, political group, readiness for reform, etc.)						

**2.11 How has the programme/activity had an influence in the following areas? (If the area is not relevant to the activity, please mark "Not applicable.")**

Purpose	None 1	Little 2	Average 3	High 4	Very High 5	Not applicable 6
Research						
Teaching						

Public awareness in development issues						
Implementing new practices within your work organisation						
Collective initiatives						
Legislation and regulation						
Country development strategies						
Community development strategies						

2.12 Since the programme was completed, have you discussed the issues raised in the activity in any of the following instances: at work, with local partners, government officials, NGOs, or in the media? Please tick Yes / No

2.13 Please if “Yes” how relevant are they?

None	Little	Average	High	Very High	Don’t Know DK
1	2	3	4	5	

2.14 What are some of the aspect you did not like about the programme?

.....

.....

.....

.....

.

2.15 How could the programme organisers improve on the programme?

.....

.....  
 .....  
 .....  
**SECTION 6: Comparison of the WORLD BANK capacity development with similar capacity development offered by other development organisations**

**6.1 Have you participated in any similar capacity development offered by (NON-WORLD BANK) organisations in your country? (If no, please go to question 6.3)**      Yes      No

**6.2 If yes, please provide the name(s) of the organisation(s)**

.....  
 .....  
 .....

**6.3 How would you rate the effectiveness of the WORLD BANK capacity development/building compared with other organisations?**

Poor                      Satisfactory                      Good                      Excellent                      Don't Know DK

**6.4 How would you describe the type of the capacity development activity? Please tick**

Video Sessions (Distance learning)	Class room (Face to face)	Mix of video/face to face	Conference	Web-based Learning	Study tour
1	2	3	4	5	6

**6.5 How effective was programme in helping you achieve your goal? Please tick**

Not effective all	Moderately Ineffective	Somewhat effective	Effective	Extremely effective	No opinion
1	2	3	4	5	6

**6.6 What are the three most important issues (subjects) that you acquired during the capacity development/building programme?  
(Please mention them in order of priority to you)**

- a.....
- b.....
- c.....
- .....

**6.7 What are some of the things that differentiate WORLD BANK's capacity development/building programme from other development organisations? .....**

.....

.....

.....

.....

THANK FOR YOUR PARTICIPATION. WE APPRECIATE YOUR COOPERATION VERY MUCH.

Please do you want to be interviewed? Yes / No

Please if "Yes" provide contact; .....

Would you like to receive the result of this study? Yes / No

If yes, please provide email address:.....

Should you need further information, please contact either the researcher or the project supervisor

Researcher contact:

Name: Joseph K. Danquah

Email: [jkdanqua@student.bradford.ac.uk](mailto:jkdanqua@student.bradford.ac.uk)

Principal project supervisor:

Name: Professor Farhad Analoui

Email: [f.analoui@bradford.ac.uk](mailto:f.analoui@bradford.ac.uk)



## APPENDIX – 2

### INTERVIEW QUESTIONS

#### **Research Tittle: World Bank’s Capacity Development/Building Programmes in Ghana.**

I appreciate your consent in agreeing to participate in this interview. The research seeks to explore World Bank’s capacity development/building programmes in Ghana. The purpose of this interview is to help me better understand the impact of World Bank capacity development/building programmes in Ghana has had on participants, their affiliated organisations and the public in general.

It is important that you respond to all of the interview questions based on your experience and perspectives as a participant of World Bank’s capacity development/building programme. There is no RIGHT or WRONG answer to the questions asked, as different organisations have unique understanding of issues.

As I do ask for certain details, you are guaranteed complete confidentiality and anonymity, only general findings from the study will be reported. The data generated will be used for the purpose of the research and your opinion is very important for me to accomplish this research.

1. What is your name?
2. Your educational background
3. What is your position now, roles/duties?
4. What is your organisation’s core duties?
5. How many staffs are there in your organisation?
6. How often does your organisation organise capacity development/building programmes for staffs?
7. Does your organisation receive financial support from Ghana Government, if “NO” how does the organisation fund its programmes?
8. From your own perspective, what is capacity development/building?
9. Does your organisation have the capacity (personal, organisation and environment) to achieve its objectives/goals?
10. How many of your staff participated in the programme and how come your organisation was selected for the programme?

11. What benefits did you expect to receive as a result of participating in the World Bank's programme and when you participated in the programme, did it meet your individual, organisational and country needs?
12. Have you been able to use the knowledge, skills and values developed by the programme in your work to meet a specific needs?
13. Has the participation in the World Bank programme helped you make connections with other people or organisations? If so what types of connections and with whom and in what way (s) do you think your new connections with people or organisation made through World Bank have benefited individual, organisations and the country?
14. Can you think of ways in which your organisation has benefitted from the new connections made through World Bank? Please explain
15. Do you think the new connections have had an impact on your individual, organisational and country needs? If so, please explain
16. In your opinion, how effective do you think World Bank capacity development/building has been in the following?
  - a. Enabling the application of knowledge to practice
  - b. Developing the capacity of participants to engage in collaborative problem solving
  - c. Creating an enabling environment for knowledge sharing and expertise
  - d. Improving relationship between other partners
  - e. Encouraging participants to development self-esteem?
  - f. Improving information flow and knowledge sharing among respective organisation?
17. Considering your other colleagues who participated in the programme, is there any change after the programme? If "Yes" explain
18. What change have you noticed in your other colleagues/bosses who participated in the programme? Explain
19. Forecasting into the future, how would your organisation look like without this programme?
20. Have you participated in any similar capacity development/building offered by NON-World Bank programme?
20. If "YES" provide the names and how would you rate the effectiveness of the World Bank capacity development/building with organisation?
21. What are some of the things that differentiate World Bank's programme from other development organisation?

22. Those are all the questions I have for you today

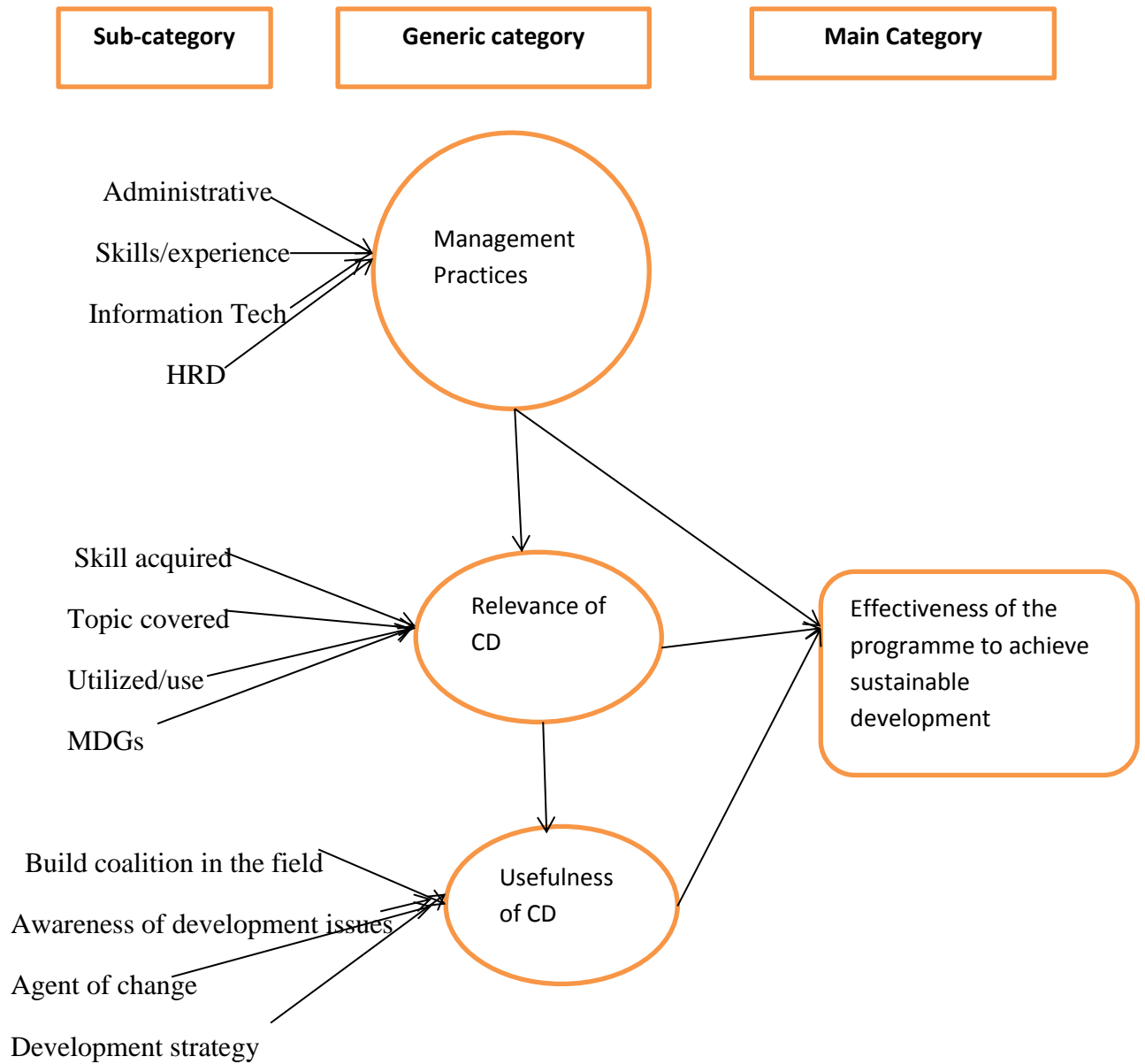
23. Are there any other comments you would like to provide?

Thank you very much for your time

<END OF INTERVIEW>

## APPENDIX – 3:

### An example of the abstraction process



## **Appendix – 4: Examples of the Views expressed by Participants**

### **Theme One – Demography**

“Am the project coordinator for the Oil and Gas with master’s degree in finance/banking, I deal with all the heads of the beneficiary agencies. I worked in capacity building for 20 years with IMF; the project was set up by government to train people in the oil and gas industry after the discovery in 2007. This is a 5 year project to build institutions, for good governance, enhance local content and finally data management”. (POGM2)

“Am senior technical information officer in-charge of data centre. I have masters in exploration in geophysics. All geological and geophysical data are processed here. I manage this information and make it available when the need arise. This organisation is funded by GoG, since last year the organisation runs quarterly self-development training to equip staff”. (POGF3)

“I am the planning officer for the municipal assembly with master’s degree, my office coordinate the activities of the assembly, and the area of planning for development projects. My office works with all the departments, the assembly exist to provide development projects within our jurisdiction. We create an enabling environment for the private sector to grow; we ensure peace/order and provide security. We are funded by GoG”. (PLGF5)

### **Theme Two – Organisational Effectiveness**

“Fundamentally, our organisation seems to be working but not effective as expected..... decisions are taken at the top and implemented by us. The assemblies are backed by legislative instrument (LI), the assembly’s structure is good but not prudent and sufficient”. (PLGM8)

“The assemblies have clear stated strategy/vision/mission..... but we are not working to the best of our ability... we function as a team and not achieving our maximum”. (PLGM9)

“.....as I said earlier, the issue rate more to the absorption capacity of the MMAs. The funds given them is called the urban development grant on annual bases and the expectations are that by the end of the year, they will be able to finish implementing the sub project they have identify and then the following year they get new set of funds to start but it appears one year calendar year is not enough to start the procurement process, safe guard process and complete a project. Minor projects like classroom blocks and those are quite easy but when it becomes big,; constructing a road, they need to design the roads, clear and all those kinds of works. So there are delays with the procurement processes from the big projects but the small projects like the school and clinics are not problems with them”. (POGM2)

### **Theme Three – Management Practices**

“..... the local government system is a pivotal in development in Ghana; the country has come a long way since 1988. Almost of the time there has been support to the assemblies to strengthen them to help in the development process. Most of our municipal and metropolitan assemblies are grappling with urbanization. This is to help them improve on their planning/budgeting system, auditing and reporting system, revenue collection management, asset management and social accountability. An appraisal study was undertaken to determine each assembly’s capacity”. (PLGM6)

“Prior to the discovery oil and gas, country has not made any conscious effort to train people in the oil industry..... this is help to manage/regulate the sector (Institutional building), governance (transparency and provision of information) and enhance local content. This is a new area..... if you knew this ministry things has changed. The

ministry of Finance is in charge of oil revenue management act, the need to be trained in these areas to help them understand the act and implement it. Parliamentarians did not know anything about oil/gas..... a new data centre built to store oil/gas data because the system is old and needed new one. The new system is in place and staffs need to understand the system. Staffs should be trained on how to measure the metering system.....” (POGM2)

“..... We collect revenue from the oil/gas industry in a form of tax for the government. To understand the industry staff’s capacity needed to be developed, must of us has taken up short courses to upgrade our skill/knowledge”. (POGM1)

#### **Theme Four – Relevance of Capacity Development Programme**

“The programme is collaboration between WB, GoG and other development agencies to support decentralization. This is harmonization of development projects to the assemblies, the WB only provides supervisory role. I have utilized the knowledge, skills and values acquired after the programme”. (PLGM7)

“This is to help the urban assemblies to tackle the problems of urbanization. Funds are disbursed based on Functional Organisational Assessment Tools (FOAT), are also indicators to assess the assemblies based on UDG. This is to help the assemblies to pass the Urban Development Grant (UDG) indicators.....there are resident consultants in the various assemblies to advise on how to achieve their goals. The programme target direct training, workshop, mentorship and many others”. (PLGM6)

“..... Our staffs were sent abroad (USA/UK) to do courses and consultants were also sent to give us a fair idea of the industry. We were fifteen staffs that had the project, our basic understanding and match them boot for boot. Courses are identified by us and these

have positioned the organisation in helping Ghana achieve the MDGs and other international/national development objectives”. (PLGM11)

“the bank only monitors what go on but the ministry of local government and the local government service secretariat, they are the implementers of the project, they are managing the projects and provide the funds direct to the assemblies implementing sub projects that are identified by themselves so the bank only comes in every six months to get progress report to read through and visit the assemblies to witness first hand report on what is happening and then provide advice.” (POGM1)

“The whole project is looking at the 46 assemblies and given the support, in fact financial support but it is based on performance like the district development facility (DDF) that we been talking about. Every year there is a performance assessment of the assemblies in Ghana through process called the functional in organisational assessment tool, we used it to assess the district assemblies. The same way this project has curved indicates that we use to also assess the urban assemblies, to determine where they were when the project started and where they have improve as the projects are still on going. There are five main indicates under these project that all the component are working to help the assemblies to perform better on these five key component areas, we called them the five key reformed areas under the projects. These are for the assemblies to improve on their planning and budgeting system for one key area, they should improve on their auditing and reporting system that is another key component area, third one is to improve on the revenue collection and management. The fourth one is actually for the assembly to look at their access management as a key area if they want to achieve development, and the fifth one is the improvement of social accountability so that residence or citizen of these areas will have better perception of the assemblies work than it is now. So these are the five key areas, the component two B of which I work, look at these five key areas and tries to give targeted capacity support to the



assemblies which are on it. So the component two B is providing capacity support on these five key areas to the 46 assemblies to perform well in the five key areas and so our work is a cross cutting one supporting all the components and all the institution which are providing specific activity under these components. So first we took a based line and appraisal study of the 46 assemblies of these five component to know where they are before the start of the projects. When that has been done, there is a report on these assemblies on these five areas, where they are, the challenges identify, suggestions on what can be done have also been given base on that the component two B has been able to carve their support activities during the implementation period both to the institution that are delivering the activities and the assemblies themselves and to all the stack holders on the project. Ours are to identify or following up on the base line report and providing the capacity support. Because it is performance base project, the assemblies using the FIOAT principle also to pass an assessment on UDG indicators, so effort are to be made to help the district assemblies to improve on their performance over succeeding years to pass UDG indicates. There three ways that we are using to do this. The project has brought new concept into our local government system, it is the first project which has engaged consultants, we call them residence consultants who are to work continuously and consistently with the various assemblies to help them improve their performance on these five key areas, under the project we call them regional technical advisory teams these are a team of consultants which are not less than five specialist people in the five key areas of the project. So the regional advisory team is composed of experts in planning and budgeting, an expert in auditing, an expert in revenue mobilisation, an expert in assert management and social accountability. These are consultants which we have engage not on a one off kind of consultancy but for the period of five years will be with the assemblies and continuously provide specialist support to the assemblies to improve their performance in these areas. Because it it 46 district assemblies it

is quite a lot and so the assemblies have been divided into zones. There are four zones of not less than ten assemblies in a project. In fact where the zones are many they are not less than ten and not more than thirteen and so assemblies ranging from ten to thirteen are group into one zone for one technical advisory team and that is what is happening and the regional technical advisory team are under the supervision of the local government service secretariat, in fact directly under me as the technical advisor . I assess their performance from time to time as the project is being implemented whether they are offering quality base assistance to the assemblies; in what way are they during their work, are there challengers, short comings, what is the level of achievement that is being achieved and then assess their report to find out what else can we do beyond the stipulated responsibilities given them. It was out of the technical service advisory work that we find out the RCC has not been integrated very well from the start of the design of the project and that it was through the work of the RCC that we realised that the work of the RCC must be brought into the project in every well-coordinated and defined way to support the RCC in their traditional work of coordination, harmonisation and monitoring and in addition be able to help in the sustainability of the project after the five years continue the work that the RCC has been asked to do. All this came when the RTAT their work showed that this can be taken up by the RCC mean while the RCC has not been well integrated into the project at all so we have made effort during the period of the implementation so far to bring the RCC in a better way into the project. The third approach under the targeted capacity service, we also provide a very small fund called capacity seed fund. Under the project. Funds are released to the assembly base on their performance under the UDG indicators assessment. In fact, through the FIOAT assessment, we now added the UDG assessment to the FIOAT. So during the FIOAT the urban and metropolitan assemblies goes through two different assessment, one under the UDG and the other under the FIOAT. Because there are specific indicates that the assemblies should pass, the assemblies have

unique and specific problem which they would have like to used part of this resources to tackle but they don't come into play in the UDG indicator. So what do they do under the project, they may be very special and very important that they could enhance their performance under the five key areas under the project and general enhance the performance of the assembly as a whole and carefully thought about and through the capacity support fund which is quit a small fund, if you pass the UDG assessment u stand a chance of gaining \$4000 to be used to tackle other aspects of your specific needs and demands and it is managed by the local government secretariat and it is to be used for specific that has been stipulated under the project but goes beyond case" (PLGM6)

#### **Theme Five - Usefulness of the Capacity Development Programme**

"We now do not use external consultants for our projects, the Norwegians have trained staffs in this area and they assist us for free because of the collaboration we have with them. We have had engineering inputs from these collaborations. Internally, we are collaborating with others institutions that we never worked together before. This project has lessened the pressure on the corporation; the money which should have been used for this programme could be used in other ventures. The staffs can now transcribe petroleum data from the old tape to a new advanced tape". (POGM1)

"The project has brought about a lot of changes by introducing us to new philosophy of the industry, for instance, oil/gas taxation, management of oil/gas issues, accounting and technicalities in the industry. The project cost would have been born by the organisation, I should say that we have benefited tremendously because funds were available to train staffs in the oil/gas industry, we are now levying the industries and collecting the appropriate tax for government. This project has been helpful but there is still room for improvement". (POGM11)

“Most of the staffs at the assemblies are conservative or stacked with routine ways of doing things, who are not willing to go beyond to do analysis a little bit report and new ideas to improve on the job. Capacity in terms of staff, capacity in terms of approach we were lacking but the project has covered that gap”. (PLGM6)

“The officers after the project now understand the industry very well, the project assisted us with certain logistics that we could not offer to purchase and we are resourceful now. My organisation can now analysis forensic statements for example people can steal our oil from high sea or the figures put on the computer someone can put in software to disrupt the process. We have all these logistics and personal to counter any crime of any sort, all due to this project”. (POGF3)

“The benefit that we have gained includes analysing data to determine the prospect of the data before entering into any form of negotiations. If new wells are needed to be drilled, we can now determine whether the new well will benefit the country and the necessary documentations can be done without any external consultant. The project has helped us in the following areas; enabling the application of knowledge/skill to practice, developed our capacity to involve in collaborative problem solving, creating enabling environment for knowledge sharing and expertise, improving relationship with partners, encourage self-esteem and improving information follow and knowledge sharing among partners”. (POGM12)

“In the area of monitoring/evaluation has improved, the assembly monitor its projects to give value for money, specially asset management and social accountability. Formally the assembly was not doing but with this project has created the awareness, for example we hold two town hall meetings every month. In the areas of accountability and transparency has improved, the community understand us now”. (PLGM8)

**Theme six: Comparison of the WB's CD programme with similar programme offered by other development organisations**

“The WB programme is good because resources are readily available to build the capacity of staffs but the others one funds promised are not provided. This is effective, there is timetable for each training and you should adhere to the schedule, most of the programmes are for a day or two and even a week and they are either held at our premises or outside the premises. Normally we have facilitates from outside the assembly and these are classroom (face-to-face). The WB programme is only targeting management level but some other CD programme like the local government secretariat, this programme targets everybody in the assembly”. (PLGM9)

“The programme must include all categories of staff of the assembly to have idea of the project, which will help us at the management level, as at now most of us will go for the workshop and come and without implementing the ideals to those at the lower part of the ladder. There are no components that instruct us to train those under us, however, this is a very good programme for example it has enhanced my skills/knowledge on projects safeguards”. (PLGM8)